

April 18, 2016 7:00 P.M.

**JONES COUNTY BOARD OF COMMISSIONERS**

**REGULAR MEETING**

**JONES COUNTY AGRICULTURAL BUILDING, 110 MARKET STREET**

**TRENTON, NC 28585**

**MINUTES**

**COMMISSIONERS PRESENT:**

Zack Koonce, Chairperson  
Frank Emory, Vice-Chairperson  
Mike Haddock, Commissioner  
Joseph Wiggins, Commissioner  
Sondra Ipock-Riggs, Commissioner

**OFFICIALS PRESENT:**

Franky J. Howard, County Manager  
Angelica Hall, Clerk

**COMMISSIONERS ABSENT:**

The Chairperson called the meeting to order. Commissioner Mike Haddock gave the invocation.

**MOTION** was made by Commissioner Joseph Wiggins, seconded by Commissioner Mike Haddock, and unanimously carried **THAT** the agenda be **APPROVED** as presented.

**MOTION** made by Commissioner Frank Emory, seconded by Commissioner Sondra Ipock-Riggs, and unanimously carried **THAT** the minutes for the Regular Meeting on April 4, 2016 be **APPROVED**.

**PUBLIC COMMENT PERIOD:**

No Public Comment

**1. CDBG PUBLIC HEARING NC COMMERCE FELLOWS PROGRAM**

Mr. Franky Howard informed the Board that the Community Development Block Grant (CDBG) process requires a public hearing for citizens to question the NC Commerce Fellows Program.

**MOTION** made by Commissioner Frank Emory, seconded by Commissioner Mike Haddock and unanimously carried to go into Public Hearing.

Mr. Franky Howard explained that the application is an opportunity for Jones County to send staff to the School of Government Training at no cost to the County and that in addition this would allow Jones County to have access to \$25,000 in grant funds to use in the County. There were no comments or questions.

**MOTION** made by Commissioner Frank Emory, seconded by Commissioner Mike Haddock and unanimously carried to go out of Public Hearing.



**MOTION** made by Commissioner Frank Emory, seconded by Commissioner Mike Haddock and unanimously carried **THAT** the County apply for the NC Commerce Grant. A copy of the grant is marked **EXHIBIT A** and is here by incorporated and made a part of the minutes.

## **2. BOARD OF EQUALIZATION AND REVIEW**

**MOTION** made by Commissioner Joseph Wiggins, seconded by Commissioner Mike Haddock, and unanimously carried **THAT** the Board of Equalization & Review be reconvened. Mr. Samuel Croom, Tax Assessor, had no items for the Board to discuss or approve. **MOTION** made by Commissioner Joseph Wiggins, seconded by Commissioner Mike Haddock, and unanimously carried **THAT** the Board of Equalization and Review be adjourned at 7:15 p.m.

## **3. TAX REFUND REQUEST**

Mr. Franky Howard presented the Board with a tax refund for approval. **MOTION** made by Commissioner Sondra Ipock-Riggs, seconded by Commissioner Mike Haddock and unanimously carried **THAT** the Tax Refund Request be **APPROVED** as presented. A Copy of the refund request is marked **EXHIBIT B** and is here by incorporated and made a part of the minutes.

## **4. TAX COLLECTION REPORT**

Mr. Franky Howard presented the Board with the Tax Collection Report through March 2016. Informational only, no action needed by the Board. A Copy of the Tax Collection Report is marked **EXHIBIT C** and is here by incorporated and made a part of the minutes.

## **5. BUDGET AMENDMENTS**

Mr. Franky Howard presented the Board with the Budget Amendments from the Finance Department. **MOTION** made by Commissioner Joseph Wiggins, seconded by Commissioner Mike Haddock and unanimously carried **THAT** the Budget Amendments 25-30 be **APPROVED** as presented. A copy of the Budget Amendments are marked **EXHIBIT D** and is here by incorporated and made a part of the minutes.

## **6. INVESTMENT ACCOUNT**

Mr. Franky Howard presented to the Board information on an investment account that Brenda Reece, Finance Officer, has been working on. If the Board approves the account, then some of the County reserve capital will be shifted into an investment account in order to start drawing better interest rates. Mr. Howard explained to the Board that this has been something other Counties have done. The Board discussed with Mrs. Reece the amount of money that would need to be invested to make a difference. Also, they discussed the risks if they decided to approve moving forward with the investment account. Mrs. Reece reassured the Board that the investment is safe and there was no risk in losing any county money that would be invested. Jones County will also seek LGC approval prior to setting up these accounts **MOTION** made by Commissioner Frank Emory, seconded by Commissioner Mike Haddock and unanimously carried **THAT** the information presented to set up the investment accounts subject to LGC approval be **APPROVED** as presented. A copy of the information is marked **EXHIBIT E** and is here by incorporated and made a part of the minutes.

**7. PURCASHING CARD POLICY AND ACCOUNT**

Mr. Franky Howard presented the Board with information on a Purchasing Card Policy and account that is currently on State Contract. Mr. Howard explained that Brenda Reece, Finance Officer, would like to open the Purchasing Card account to save the County Funds and to be on a State Contract Account. The County is currently with BB&T for Purchasing Cards. **MOTION** made by Commissioner Joseph Wiggins, seconded by Commissioner Frank Emory and unanimously carried **THAT** the Purchasing Card Policy and account be **APPROVED** as presented. A copy of the contract and policy is marked **EXHIBIT F** and is here by incorporated and made a part of the minutes.

**8. CDBG QUARTERLY REPORT**

Mr. Franky Howard presented the Board with the latest CDBG Quarterly report. Informational only, no action needed by the Board.

**COUNTY MANAGER'S REPORT**

No Report

**COMMISSIONER'S REPORTS**

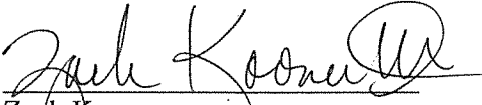
*Commissioner Sondra Ipock-Riggs* spoke to the Board about concerns she had with the County not having enough fire hydrants and how the insurance rates will increase if there is not a plan set up to have water shuttled. Also, she informed the Board that she had received several phone calls and messages about the Recreation Department not having games on Thursdays or Fridays and how Comfort is having to go play games in Maysville at 6:00 p.m. on Tuesday evenings due to issues with the field in Comfort.

*Commissioner Mike Haddock* requested an update on when the FSA would be moving into the Ag Building.

**PUBLIC COMMENT**

No Public Comment

**MOTION** made by Commissioner Joe Wiggins, seconded by Commissioner Mike Haddock, and unanimously carried **THAT** the meeting be **ADJOURN** at 7:40 p.m.

  
Zack Koonce  
Chairman

  
Angelica Hall  
Clerk to the Board

## EXHIBIT A



Rural Economic Development  
COMMERCE

2016-2017 Commerce Fellows  
*Building Community through  
Capacity and Knowledge*

## PROGRAM STATEMENT

The Commerce Fellows / *Building Community through Capacity and Knowledge* is offered through funding available from the U.S. Housing and Urban Development Community Development Block Grant (CDBG) funding program. CDBG funds are available to assist local governments with projects that enhance the vitality of communities by providing decent housing and suitable living environments and expanding economic opportunities. These grants primarily serve persons of low- and moderate- incomes. All CDBG-funded activities must meet one of the three national objectives of the program: 1) benefiting low-and moderate-income persons, 2) preventing or eliminating blight, or 3) meeting other community development needs having a particular urgency. Grantees must be prepared to carryout activities as a result of the Commerce Fellows program that will benefit low- and moderate-income (LMI) individuals and families.

The State recognizes that strong leadership at the local level can enhance the opportunities available to LMI people and the Commerce Fellows program has a special emphasis in that area. As a result, the State, as a part of its consolidated planning process, identified the expansion of its partnership with North Carolina universities to expand the capacity building program. The Commerce Fellows / *Building Community through Capacity and Knowledge* program is a collaboration among the NC Department of Commerce Rural Economic Development Division CDBG program, East Carolina University (ECU) and UNC-Chapel Hill School of Government (UNC SOG). The Department of Commerce will offer grants to local governments to enable local governments to engage in high-quality professional development and training with an eye toward improving opportunities for LMI individuals. These grants are designed to facilitate capacity-building and will enable local administrators to participate in professional development courses/seminars at one of the above-named Universities.

Community development is a strong focus of the Commerce Fellows program. While each University will structure their own course offerings for this grant program, all programs will offer content on grant writing and administration, budget and finance, planning and economic development. There will be special emphasis on capacity building and CDBG administration in the context of effective local government administration of programs and design of effective community and economic development programs. Grantees will be required to submit a final product, which will be due at the end of the grant term.

The Commerce Fellows partnership will provide holistic community development training opportunities for local government administrators. Local governments may select to participate in one program at either East Carolina University, or UNC-Chapel Hill School of Government.

## APPLICATION DEADLINES AND SUBMITTAL REQUIREMENTS

The Application materials are available on the NC Department of Commerce Rural Economic Development Division website at [www.nccommerce.com/rd](http://www.nccommerce.com/rd) and each University program website:

East Carolina University: <http://www.ecuinnovate.org/>

UNC School of Government: [http://www.sog.unc.edu/training\\_package](http://www.sog.unc.edu/training_package)

All applications will be submitted to the NC Department of Commerce. Applications must be received by 5:00 p.m. on May 13, 2016. No application or relevant submission materials will be accepted after the deadline date and time; all relevant signatures must be in place when application is submitted.

**Complete Applications Should Be Submitted To:**

Ella Limehouse  
North Carolina Department of Commerce, Rural Economic Development Division  
For Postal Delivery: 4346 Mail Service Center, Raleigh, NC 27699-4346  
For Overnight Delivery: 301 N. Wilmington Street, Raleigh, NC 27699  
919-814-4681  
[Ella.limehouse@nccommerce.com](mailto:Ella.limehouse@nccommerce.com)

**DESCRIPTION OF TRAINING PROGRAMS**

Local government should select one training program at either East Carolina University or University of North Carolina Chapel Hill School of Government. Below are descriptions of the programs available at each university.

**COMMERCE FELLOWS AT EAST CAROLINA UNIVERSITY**

The Commerce Fellows Community Capacity Building program at ECU provides technical assistance, capacity building, training and community development consultation to local governments across North Carolina. The program includes community level engagement by faculty and staff, and an on-campus training curriculum in grant administration and public management that covers a range of related topics including:

- Grant Writing
- Strategic Planning
- Budgeting
- Program Evaluation
- Policy Analysis
- Leadership Development and
- Economic Development.

The program offers specific training relative to the Community Development Block (CDBG) Program, its application process and its administrative requirements. Participants will engage with faculty, professional economic development staff and other local government practitioners to enhance their existing skill sets and build greater administrative and management capacities for their respective communities. Training sessions for Commerce Fellows ECU will be held monthly for a full academic year on the campus of ECU in Greenville, NC.

**Eligible Applicants for Commerce Fellows at ECU**

All North Carolina counties and small cities are eligible to apply for the Commerce Fellows at ECU except for the 24 entitlement cities that receive funds directly from the U.S. Department of Housing and Urban Development (HUD). These directly-funded cities include: Asheville, Burlington, Cary, Chapel Hill, Charlotte, Concord, Durham, Fayetteville, Gastonia, Goldsboro, Greensboro, Greenville, Hickory, High Point, Jacksonville, Kannapolis, Lenoir, Morganton, New Bern, Raleigh, Rocky Mount, Salisbury, Wilmington, and Winston-Salem. The three HUD-designated urban counties of Wake, Mecklenburg, and Cumberland, are also not eligible to apply.

#### Eligible Expenses for Commerce Fellows at ECU

Grants of \$50,000 are available to local governments to enable one employee per local government to participate in the Commerce Fellows program at ECU and to carry out eligible CDBG planning activities; including:

- Personnel expenses associated with carrying out the Commerce Fellows program (local government payroll employees only)—Timesheets are required as documentation of time spent working on the Commerce Fellows program.
- Commerce Fellows training tuition
- Travel, lodging and meal expenses associated carrying out the Commerce Fellows program—requires full documentation of actual expenses including travel logs and receipts.
- Administration of grant—up to 10% of total grant amount.
- Planning costs associated with application preparation (up to \$3,500 maximum) —requires proper procurement of services.

#### COMMERCE FELLOWS AT UNC-CHAPEL HILL SCHOOL OF GOVERNMENT

The UNC SOG's Commerce Fellows Training Package is composed of sought-after School courses that address the breadth and depth of issues related to community development. The series will provide Commerce Fellows grantees with the flexibility to build the skills of the many actors involved in North Carolina's community development efforts.

##### Training Package

The training package includes 8 seats in 5 in-person courses (see below for details), for a combined total of 381 classroom contact hours. Overnight accommodations for the 8 seats are included in the price of the training package. The package also includes 4 online training series (composed of 21 webinars/modules); the online offerings provide another 26 hours of training. Grant recipients can send different employees or elected officials to the offerings in the package. Webinars and modules can be viewed locally in a classroom setting, allowing numerous officials from the county and its municipalities to benefit from these resources.

##### Courses

- Community Development Academy | March 14-16, 2017 & April 11-13, 2017 | 2 seats (42 contact hours per participant)
- Development Finance Toolbox | September 21-22, 2016 | 2 seats (14 contact hours per participant)
- Municipal and County Administration | September 2016 – May 2017 | 1 seat (175 contact hours over 8 months) *Participants must apply to this course by July 1, 2016; the course is not open to elected officials*
- Basic Economic Development | July 25-28, 2016 | 1 seat (28 contact hours)
- Effective Supervisory Management | July 11-15, 2016; August 15-19, 2016; November 14-18, 2016 (locations TBD) | 2 seats (33 contact hours per participant)

##### On-Demand Modules and Webinars (single viewing with unlimited participants)

- Planning and Development Regulation Modules | (4.5 contact hours per participant)
- Human Capital Matters Webinar Series | (7.5 contact hours per participant)
- Open Meetings Law Webinar Series | (4.5 contact hours per participant)
- Public Records law Webinar Series | (9.5 contact hours per participant)

#### Eligible Applicants for Commerce Fellows at UNC SOG

The School of Government's training package is available for all municipal and county governments outside of CDBG Entitlement counties that do not receive CDBG Entitlement Funds.<sup>1</sup> Partnership is required: All municipal

applicants must partner with their respective county, identifying officials from the county government and potentially municipal governments within the county to participate in the training series. All county applicants must partner with municipalities in the county, identifying officials from municipal governments within the county to participate in the training series.

#### **Eligible Expenses for Commerce Fellows at UNC SOG**

Grants of \$50,000 are available to eligible applicants (see above) to enable eight (8) seats in five (5) in-person courses and to carry out eligible CDBG planning activities; including:

- **Personnel expenses associated with carrying out the Commerce Fellows program (local government payroll employees only)**—Timesheets are required as documentation of time spent working on the Commerce Fellows program.
- **Commerce Fellows training tuition (\$25,000 tuition includes courses and lodging)**
- **Travel, and meal expenses associated carrying out the Commerce Fellows program (lodging included in tuition)**—requires full documentation of actual expenses including travel logs and receipts.
- **Administration of grant—up to 10% of total grant amount.**
- **Planning costs associated with application preparation (up to \$3,500 maximum) —requires proper procurement of services.**

#### **EXPLANATION OF CDBG REQUIREMENTS**

Commerce Fellows applicants must certify that, if funded, they will comply with all applicable laws and requirements of the CDBG program.

Per the Housing and Community Development Act of 1974, as amended, the CDBG program has certain federal and state requirements that must be met. Local government project administrators should be familiar with the Act, along with rules published in the Federal Register under 24 CFR Part 570 and NC Administrative Code requirements of 4 NCAC Subchapter 19L (NC Community Development Block Grant Program).

##### **1. Citizens Participation**

In order to meet the minimum requirements for citizen participation during the application phase, the applicant must hold **one public hearing** to obtain citizens' comments prior to its submission to Commerce. The public hearing notice must be published at least once in the non-legal section of a newspaper having general circulation in the area. The notice must be published at least 10 days but no more than 25 days before the date of the hearing.

The notice of public hearing to obtain citizens' views must also contain a description of the proposed activities to be carried out, including the total costs of the activities. The public hearing must be conducted by the governing board of the applicant.

A publisher's affidavit of the notice and minutes of the hearing signed by the town, city or county clerk must be submitted to Commerce.

Applicants must certify in their application that they are following a detailed citizen participation plan which provides for and encourages citizen participation at all stages of the project, from initial design and application through implementation and closeout. This plan must provide for reasonable and timely access to meetings, information, and records; provide technical assistance to groups representative of low and moderate income persons that request assistance; provide for public hearings at all stages of the community development program; provide timely written answers to written complaints; and provide for the needs of non-English speaking persons.

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<sup>1</sup> The following local governments are not eligible to apply: NC Entitlement Counties (Cumberland, Mecklenburg, and Wake) and all municipalities within these counties, and Entitlement Cities (Asheville, Burlington, Cary, Chapel Hill, Charlotte, Concord, Durham, Fayetteville, Gastonia, Goldsboro, Greensboro, Greenville, Hickory, High Point, Jacksonville, Kannapolis, Lenoir, Morganton, New Bern, Raleigh, Rocky Mount, Salisbury, Wilmington, and Winston-Salem).



Local governments also must provide citizens an adequate opportunity to participate in the planning and development of CDBG applications beyond the public hearing requirements described above.

Examples of actions applicants may take to ensure adequate citizen participation in the application stage include meeting with community groups and leaders prior to public hearings, holding informational meetings for those citizens whose homes will be affected by the project and distributing notices of meetings and public hearings directly to them. Applicants may also choose to distribute public hearing notices to local community action agencies; legal services offices and other public and private organizations.

Please note that the applicant certifies in the application Certification Form that it is following the requirements described in the first paragraph of this section, and that it will adopt a detailed written Citizen Participation Plan that includes these requirements if the project receives a grant award. Applicants should refer to 4 NCAC 19L Section .1002(c) and (d) for information regarding the development and implementation of this plan.

If funded, grantee will have documentation on file of compliance with citizen participation requirements in the application process 4 NCAC 19L.1002(b); publisher's affidavits of notices for and minutes signed by the town or county clerk of the required public hearing.

## 2. Conflict of Interest

Per 24 CFR Part 570.489 (h), the following people or their immediate family members shall not have any direct or indirect financial interest in any contract, subcontract or the proceeds thereof for work to be performed in connection with the grant during their tenure or for one year thereafter: (1) employees or agents of the recipient who exercise any function or responsibility for the *Commerce Fellows program*, and (2) officials of the recipient including members of the governing body. The applicant will be asked to determine if a potential conflict exists. Questions for the applicant to answer are in the program application. Please note that sub-recipients must comply with these regulations as well. Consult with Department of Commerce staff regarding conflict of interest questions or North Carolina Community Development Block Grant Program Regulations (4NCAC 19L.0914).

## 3. Administration of Project

If funded, grantee will meet minimal levels of supervision in implementing the project as follows:

- a) Administrators of the project will give at least quarterly written status reports to the elected board.
- b) At least two persons from the local government will review invoices and requests for payment.
- c) The local government manager reviews and signs off on all project reports.
- d) All project files will be maintained at the local government offices and made available to citizens during regular business hours.

## 4. Audits/Compliance

CDBG grantees expending \$25,000 or more in a fiscal year are required to have funds audited for the CDBG program. CDBG funds can be used to pay for the CDBG portion of the audit provided the grantee has expended \$500,000 or more in the fiscal year in total federal awards (CDBG and other federal funds). If the grantee has expended less than \$500,000 in total federal awards, the grantee may budget local funds in the administrative line item in the CDBG application to pay for the CDBG portion of the audit and claim the local administrative funds as local commitment.

## 5. Procurement

The grantee must have a written Procurement Policy that meets the requirements specified in 24 CFR 85.36. The procurement procedures must reflect applicable State and local laws should promote free and open competition, and describe efforts to encourage minority and female owned businesses to submit bids/proposals. Grantees must contract for the procurement of goods, services, and construction projects including design services. CDBG grantees must enter procurement solicitation for any contract over \$25,000 in the Statewide Interactive Purchasing System (IPS) as well as provide the information to the Department of Commerce. All notices must be posted in IPS at least three days before the procurement process begins.

The local government only must set-up in IPS to post solicitation documents electronically. The process takes 15 minutes. The local government should contact the N. C. Department of Administration at (919) 807-4502 or [www.ips.state.nc.us](http://www.ips.state.nc.us) for information.

The use of IPS will be added to the program compliance monitoring process. Grantees must also ensure compliance with 24 CFR 85.36 Procurement Process in addition to the IPS requirement.

#### 6. Equal Opportunity

Applicants are required to insure that CDBG aided projects comply with equal opportunity and nondiscrimination laws and that people in protected categories are not excluded from project participation. Applicants are required to take into consideration equal opportunity and non-discrimination laws in designing the **Commerce Fellows** program to insure that people in protected categories are not excluded from participation, denied the benefit of, or subjected to discrimination under any program or activity funded in whole or in part with **Commerce Fellows** funds. The recipient of **Commerce Fellows** funds must describe the actions it will take annually for each year the grant is open in the areas of enforcement, education and removal of barriers and impediments that affirmatively further equal access in employment and procurement. This includes a description of steps to be taken in the areas of advertisement, compliance and complaint tracking.

#### 7. Fair Housing

Recipients of **Commerce Fellows** funds will be required to comply with fair housing and non-discrimination laws and regulations. Applicants should consult Section .1001 of NCAC 04.19L for further information on equal opportunity requirements. Applicants will be required to submit a Fair Housing Plan for the municipality and/or county. Applicants with 10,000 persons or more will be required to complete an Analysis of Impediments to Fair Housing Choice Study. For each year that a **Commerce Fellows** is active, a recipient must describe the actions it will take in the areas of enforcement, education and removal of barriers and impediments to affirmatively further fair housing. For guidance for developing a Fair Housing Plan, grantee will refer to Commerce Bulletin 10-25 (or any subsequent replacement versions), and the Implementation Notebook, at [www.nccommerce.com/rd](http://www.nccommerce.com/rd).

#### 8. Language Access Plan (LAP)

As recipients of federal financial assistance, grantees have an obligation to reduce language barriers that can preclude meaningful access by Limited English Proficient (LEP) persons to important government programs, services, and activities. Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000(d) and its implementing regulations require that recipients take responsible steps to ensure meaningful access by LEP persons. Applicants will be required to submit a Language Access Plan using the approved recommended template from Commerce. The plan will be submitted for municipality and or county using the thresholds established by Commerce. The plan will address the LAP policy, translation of required vital documents, and requirements for citizen participation.

#### 9. Local Economic Benefit (Section 3)

Section 3 of the Housing and Urban Development Act of 1968, as amended, contains requirements governing programs providing direct financial assistance to public recipients and related contractors (or subcontractors).

For each year that a **Commerce Fellows grant** is active, a recipient must describe a strategy whereby opportunities in employment and procurement arising out of a **Commerce Fellows** assisted project are identified and made available to low-income residents within the **Commerce Fellows** assisted area to the greatest extent feasible. This strategy must include: (1) identification of training and technical assistance resources to prepare low income residents for employment and procurement opportunities, (2) attempts to reach the numerical targets for new hires set forth in the Section 3 regulation, which applies to recipients receiving \$200,000 or more in non-administrative line items expended for construction contracts of at least \$100,000 per contract, and (3) education of low income residents within the **Commerce Fellows** assisted area about the components and opportunities of the program. Once applicants are awarded funds, recipients will be required to submit a Section 3 Plan using the approved CI template. In addition, applicants are encouraged to coordinate additional activities as it relates to Section 3 with Commerce.

#### 10. Environmental Review

Recipients of CDBG funds are required to comply with the requirements of the National Environmental Policy Act of 1969 (NEPA) found at 24 CFR Part 58 and the NC State Environmental Policy Act and complete an Environmental Review Record (ERR). Please follow procedures outlined in Commerce's Environmental Technical Assistance Handbook. Copies of the ERR can be secured from Commerce staff and/or on the North Carolina Department of Commerce website, under Community Development Block Grant, Forms and Resources, Compliance Plans and Templates, Environmental Review Process: <http://www.nccommerce.com/rd>. Commerce staff are available to answer questions regarding the environmental review process. Copies of the ERR are to be submitted to Commerce with the application.

#### 11. Section 504 of the Rehabilitation Act of 1973

Recipients of Commerce Fellows funds are required to comply with the provisions of Section 504 of the Rehabilitation Act of 1973, as amended, and the HUD implementing regulations at 24 CFR, Parts 8 and 9. The requirements of Section 504 apply to any recipient of federal Commerce Fellows funds for any program or activity carried out directly or through another recipient, successor, assignee, or transferee. The Grant Agreement will require recipients to complete the Section 504 Survey and Transition Plan, covering policies, practices and physical accessibility and notify affected persons that it does not discriminate on the basis of handicap. (The latter notification action is a requirement if the recipient has 15 or more employees.)

This plan will not satisfy all the requirements of the Americans with Disabilities Act, but it will meet the minimum requirements for this Commerce Fellows assisted project.

#### 12. Americans with Disabilities Act (ADA)

State and local governments are required to comply with the provisions of Title I of the Americans with Disabilities Act (ADA) which protects qualified individuals with disabilities from discrimination in all state and local government programs and activities including employment.

Governments with 25 or more employees were subject to the law after July 26, 1992, and governments with 15 or more employees after July 26, 1994. If a government is not covered by Title I of the Act, Section 504 of the Rehabilitation Act of 1973 applies. All governments receiving federal financial assistance will continue to be covered by Section 504.

#### 13. Reporting

Recipients must submit written quarterly progress reports to the Department of Commerce. In addition to providing an update on the status of project activities, jobs created, and financial expenditures, participants should share their success stories as part of the report. Include copies of all published press articles, TV coverage, scheduled ribbon cuttings, and other events and milestones. Periodic photographs should document project stages, training, events and successes.

An Annual Performance Report (APR) is due at the close of each calendar year and an annual financial audit of the CDBG program is due at the close of each fiscal year in which at least \$25,000 in CDBG funds were received. The audit may be performed in conjunction with the regular independent audit of the recipient and will contain an examination of all financial aspects of the CDBG program as well as a review of the procedures and documentation supporting the recipient's compliance with applicable statutes and regulations. A Final Performance Report and audit will be required prior to grant closeout. Grantees will be required to document how they will implement strategies learned through the Commerce Fellows program to benefit of low-to-moderate income individuals and families in their communities.

#### 14. Monitoring

The Department of Commerce will monitor the project through mechanisms, including review of quarterly and annual reports received from the grant recipient, through phone/email/letter correspondence, through receipt of all published press articles about the project as provided by the local government, and through on-site monitoring visits.

Commerce staff will notify the grantee at least 10 days before on-site monitoring visits and will provide copies of monitoring forms to be used. Any performance findings or administrative concerns resulting from the monitoring review must be mutually resolved before a grant can be formally closed.

**15. Financial Management Requirements**

The Department of Commerce will monitor the grantee to determine compliance with the financial management requirements. In particular, the review will determine if records are maintained in compliance with 24 CFR Part 85, OMB Circular A-87 and other State of North Carolina requirements. This monitoring is performed through desktop audit and at each on-site visit. Typically, ledgers, invoices, canceled checks, bank statements and requisitions are reviewed to see that the grantee has an adequate system of financial management. Commerce staff may also make specific requests to review information or documentation relating to financial management of a grant.

**16. CCR Registration**

The Federal Funding Accountability and Transparency Act (FFATA) of 2006 mandates specific reporting requirements for recipients of CDBG grants equal to or greater than \$25,000 awarded after October 1, 2010. Applicants must register with the Central Contractor Registration (CCR) system prior to application submission. The CCR system may be accessed online at <http://www.ccr.gov>.

**17. Certifications Regarding Debarment, Suspension and Other Responsibility Matters**

As required by Executive Order 12549, Debarment and Suspension, the recipient must submit a certification form signed by the Chief Elected Official.

**SELECTION CRITERIA**

Applicants must submit complete applications on or before the deadline with all required forms, attachments and certifications to be considered. Incomplete applications will not be considered.

Applications will be judged according to the following criteria:

1. The level of support expressed by local government leadership for the individuals' attendance in the program.
2. Projected community benefit described in the narrative, especially for low-to-moderate income individuals and families

**COMMERCE FELLOWS PROGRAM CONTACTS**

For technical assistance please contact:

**NC Department of Commerce**

Iris C. Payne, CDGB Program and Compliance Section Chief

E-mail: [ipayne@nccommerce.com](mailto:ipayne@nccommerce.com)

Telephone: (919) 814-4663

**East Carolina University**

Kenny Flowers, Assistant Vice Chancellor

Community and Regional Development

E-mail: [flowersk@ecu.edu](mailto:flowersk@ecu.edu)

Telephone: (252) 737-1342

**UNC-Chapel Hill School of Government**

Kelley O'Brien, Director for Strategy and Innovation

E-mail: [obrien@sog.unc.edu](mailto:obrien@sog.unc.edu)

Telephone: (919) 962-8273

### COMMERCE FELLOWS APPLICATION CHECKLIST

When submitting an application, use the following checklist as a table of contents. Make sure all of the required items are included.

- Applicant must be an eligible non-entitlement general unit of local government.
- Applicant must submit **one original and one copy** of the application.
- Applications must be received at the Department of Commerce by **5:00 p.m. on May 13, 2016**.
- Neither applicant nor any of its critical partners can appear on the Federal or State Suspension of Funds List/Debarment List.

REQUIRED ATTACHMENTS	
COMPLETED APPLICATION FORM	
PROJECT NARRATIVE: Complete the narrative requirements for the university program you wish to attend.	
PROJECT BUDGET FORM must show the main uses and sources of funds over the 15-month grant period. Use the form provided in the application. Attach any supporting documentation or clarification of line items directly behind the budget.	
CONFLICT OF INTEREST FORM-CHECKLIST	
FEDERAL REQUIREMENTS CERTIFICATION	
DISCLOSURE OF CIVIL RIGHTS COMPLAINTS/LAWSUITS SIGNED AND DATED BY CHIEF ELECTED OFFICIAL	
CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS	
EVIDENCE OF THE <b>ONE</b> REQUIRED PUBLIC HEARINGS. Provide the publisher's affidavit With the application for the one public hearing.	
ENVIRONMENTAL REVIEW RECORD: No funds may be obligated or expended in any project activity until the grant recipient has complied with the Environmental Review Procedures for the NC CDBG Program at 24 CFR Part 58 and the CDBG regulations contained in 4 NCAC 19L.1004. The ERR form is located on the NC Department of Commerce's website located at: <a href="http://www.nccommerce.com/rd">http://www.nccommerce.com/rd</a>	
DRAWDOWN PLAN: Please include and clearly identify the use of CDBG funds and the timeline over the project period for drawing down the funds. Also, please state whether or not the applicant (i.e., the local unit of government will use the Reimbursement or Advance (3-day rule applies) method of payment.	
PROOF OF REGISTRATION WITH CENTRAL CONTRACTOR REGISTRATION (CCR) <input type="checkbox"/> INITIAL <input type="checkbox"/> ANNUAL UPDATE	
CITIZEN PARTICIPATION PLAN	

## COMMERCE FELLOWS APPLICATION FORM

1. Applicant's Name		2. Program Selected	
a. Mailing Address		Program Selected:  <input type="checkbox"/> ECU <input checked="" type="checkbox"/> American SFG	
b. City and Zip Code			
c. County			
d. Contact Person			
e. Telephone			
f. Fax Number			
g. E-mail address			
h. DUNS Number			
3. Preparer's Name		c. Telephone Number	
a. Firm's Name			
b. Mailing Address			
c. City and Zip Code			
d. e-mail address			
4. Program Category	5. Project Number	6. Project Name	7. CDBG Funds Requested
D	1		\$
Total			\$

## 10. Certification by the Chief Elected Official

- a) I certify that to the best of my knowledge and belief:
- (1) Data in this application is true and correct,
  - (2) Opportunities have been provided for citizen participation and access to information concerning the proposed activities,
  - (3) This document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached certifications and state Standards if the assistance is approved.
- b) I acknowledge that, if funded, this application is part of the Grant Agreement.

c) Typed Name of Chief Elected Official ➤	
d) Typed Title ➤	
e) Signature ➤	
f) Typed Date ➤	

For Commerce Office Use Only

Date Received:

Application Number:

## NARRATIVE REQUIREMENTS

Applicants should complete narrative requirements for the site that the applicant wishes to attend.

#### COMMERCE FELLOWS AT ECU

If you are applying to attend the Commerce Fellows program at ECU, submit the following narrative along with your application:

- A detailed description of the Applicant's entity.
  - A detailed description of the employee seeking to attend the program, including position, length of time served with the local government, and previous government employment.
  - A detailed description of how the attendee will benefit from the professional development and capacity-building opportunity, and how attendance will benefit the attendee's local government unit and community.
  - A detailed narrative description of how the grant funds will be spent. Budget narrative figures should match those on the budget form included with the application form.
  - Include with Application materials a signed letter from the Town/County Manager attesting support for full participation of employee(s) attending the Commerce Fellows program. In the letter, please state support for the time invested by the Attendee, and affirm all future reporting requirements will be met.
- Applications must be signed by the Chairman of the elected board.

#### Attendee Information:

Full Name:

Position:

Organization:

Email:

Office Phone:

Local Government Contact (Manager or Administrator):

#### COMMERCE FELLOWS AT UNC SOG NARRATIVE REQUIREMENTS

If you are applying to attend the Commerce Fellows program at UNC SOG, submit the following narrative information along with the course selection form below.

- A detailed description of the Applicant's entity.
- A detailed description of municipalities that are partnering with the Applicant on the grant (sending employees and/or elected officials to a course within the training package).
- A description of how the Applicant's entity will benefit from sending employees and/or elected officials (both county and municipal) to courses that are part of the professional development and capacity-building training series.
- A detailed narrative description of how the grant funds will be spent. Budget narrative figures should match those on the budget form included with the application form.
- Include with Application materials a signed letter from the County Manager and participating Town/City Managers attesting support for full participation of employees and/or elected officials attending the Commerce Fellows program. In the letter, please state support for the time invested by the Attendee, and affirm all future reporting requirements will be met.
- A completed form (see below) listing the name, title, and contact information of each employee or elected official attending the five courses in the program

#### UNC SOG Attendee Registration Form

**Community Development Academy | March 14-16 & April 11-13, 2017**

Appointed and elected public officials; other professionals engaged in community development/revitalization

Registrant #1 Full Name \_\_\_\_\_

Registrant #1 Position: \_\_\_\_\_

Registrant #1 Organization: \_\_\_\_\_

Registrant #1 Email: \_\_\_\_\_

Registrant #1 Office Phone: \_\_\_\_\_

Registrant #2 Full Name \_\_\_\_\_

Registrant #2 Position: \_\_\_\_\_

Registrant #2 Organization: \_\_\_\_\_

Registrant #2 Email: \_\_\_\_\_

Registrant #2 Office Phone: \_\_\_\_\_

**Development Finance Toolbox | September 21-22, 2016**

Appointed and elected public officials; community development professionals

Registrant #1 Full Name \_\_\_\_\_

Registrant #1 Position: \_\_\_\_\_

Registrant #1 Organization: \_\_\_\_\_

Registrant #1 Email: \_\_\_\_\_

Registrant #1 Office Phone: \_\_\_\_\_

Registrant #2 Full Name \_\_\_\_\_

Registrant #2 Position: \_\_\_\_\_

Registrant #2 Organization: \_\_\_\_\_

Registrant #2 Email: \_\_\_\_\_

Registrant #2 Office Phone: \_\_\_\_\_

**Municipal and County Administration | September 2016 – May 2017**

City and county managers and department heads; elected officials are not admitted. Must formally apply by July 1, 2016

Registrant Full Name: \_\_\_\_\_

Registrant Position: \_\_\_\_\_

Registrant Organization: \_\_\_\_\_

Registrant Email: \_\_\_\_\_

Registrant Office Phone: \_\_\_\_\_

**Basic Economic Development | July 25-28, 2016**

Public or private economic development professionals; public officials seeking a deeper understanding of the topic



Registrant Full Name: \_\_\_\_\_

Registrant Position: \_\_\_\_\_

Registrant Organization: \_\_\_\_\_

Registrant Email: \_\_\_\_\_

Registrant Office Phone: \_\_\_\_\_

Effective Supervisory Management | July 11-15, 2016; August 15-19, 2016; November 14-18, 2016 (locations TBD)

Newly promoted and veteran local government supervisors and front-line managers

Registrant #1 Full Name \_\_\_\_\_

Registrant #1 Position: \_\_\_\_\_

Registrant #1 Organization: \_\_\_\_\_

Registrant # 1 Session Preference: \_\_\_\_\_

Registrant #1 Email: \_\_\_\_\_

Registrant #1 Office Phone: \_\_\_\_\_

Registrant #2 Full Name \_\_\_\_\_

Registrant #2 Position: \_\_\_\_\_

Registrant #2 Organization: \_\_\_\_\_

Registrant # 2 Session Preference: \_\_\_\_\_

Registrant #2 Email: \_\_\_\_\_

Registrant #2 Office Phone: \_\_\_\_\_

*Registrations are transferable within the applicant group. Registrations are not refundable.*

## COMMERCE FELLOWS BUDGET FORM

Applicant Name:			
1. Commerce Fellows Activities Cost (column 5n)			
2. Other Funds (column 6n)			
3. Total Commerce Fellows Resources (should = column 7n)			
4. Activity	5. COMMERCE FELLOWS Costs	6. Other Funds	7. Total COMMERCE FELLOWS Costs
l. Planning (Commerce Fellows Activities)			
1. Training			
(a) University Registration Fee (see #2 below)			
(b) Travel			
(c) Lodging (ECU only)			
(d) Meals			
2. Application Preparation (\$3,500 maximum)			
3. Personnel			
m. Administration (10% maximum)			
n. TOTAL			

## 1. Grant Amounts Available:

- East Carolina University: \$50,000
- University of North Carolina SOG: \$50,000

## 2. University Registration Fees:

- East Carolina University: \$17,500.
- University of North Carolina SOG: is \$25,000 (includes lodging).

## 3. Eligible Expenses:

- Personnel expenses associated with carrying out the Commerce Fellows program (local government payroll employees only)—Timesheets are required as documentation of time spent working on the Commerce Fellows program.
- Commerce Fellows training tuition
- Travel, lodging (ECU only) and meal expenses associated carrying out the Commerce Fellows program—requires full documentation of actual expenses including travel logs and receipts.
- Administration of grant—up to 10% of total grant amount.
- Planning costs associated with application preparation (up to \$3,500 maximum)—requires proper procurement of services.

**CONFLICT OF INTEREST CHECKLIST**

To assist applicants with determining if a potential conflict of interest exists, as defined in 24 CFR Part 570.489 (h), please provide responses to the following questions. For any "yes" response, refer to Bulletin 10-8 for next steps.

1. Does any person involved with this potential CDBG project have family or business ties with any of the local government elected officials or local government staff?
2. Has any person involved with this potential CDBG project requested or received an opinion about a potential conflict of interest from an attorney or from the North Carolina Ethics Commission?
3. Does any person involved with this potential CDBG project have an ownership interest in an entity that is directly affected by activities proposed in the application?
4. Will any person involved with this potential CDBG project derive any income or commission as a direct result of action taken by the local government elected board or its staff?

**FEDERAL REQUIREMENTS CERTIFICATION**

The applicant hereby assures and certifies that:

- a) It will comply with all applicable federal and state laws, regulations, rules and Executive Orders.
- b) It possesses legal authority to apply for the grant, and to execute the proposed program.
- c) Its governing body has duly adopted or passed as an official act a resolution, motion or similar action authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
- d) It is following a detailed, written citizen participation plan which will provide opportunities for citizen participation, hearings, and access to information with respect to its community development program that are comparable to those required of grantees under Section 104(a) of the Act and in accordance with Rule .1002 of the North Carolina Community Development Block Grant Administrative Rules.
- e) Its chief elected official or other officer of the applicant if assistance is approved by Commerce:
- 1) Consents to assume the status of the "responsible Federal Official" as that term is used in Section 102 of the National Environmental Policy Act (NEPA), Section 104(f) of Title 1 of the Housing and Community Development Act of 1974, as amended, and other provisions of Federal law, as specified in 24 CFR 58.5 which further the purposes of NEPA.
- 2) Is authorized and consents on behalf of the applicant and himself to accept the jurisdiction of the Federal courts for the purpose of enforcement of his responsibilities as such an official.
- 3) Consents to review and comment on all Environmental Impact Statements prepared for Federal projects which may have an impact on the applicant's/recipient's community development program.
- 4) Consents to perform all coordination functions required under 24 CFR Part 58 and 40 CFR Parts 1500-1508.
- f) The Community Development Program has been developed so as to give maximum feasible priority to activities which will benefit low and moderate income families or aid in the prevention or elimination of slums and blight. The requirement for this certification will not preclude Commerce from approving an application where the applicant certifies, and Commerce determines, that all or part of the Community Development Program activities are designed to meet other community development needs having particular urgency as specifically explained in the application in accordance with Section .0800 of 4 NCAC 19L of the North Carolina Administrative Code.
- g) Its program will be conducted and administered in conformity with Public Law 88-352 and Public Law 90-284, and that it will affirmatively further fair housing.
- h) It will comply with all provisions of 4 NCAC 19L of the North Carolina Administrative Code, entitled North Carolina Community Development Block Grant Program.
- i) It will give Commerce, HUD and the Comptroller General through any authorized representative access to and the right to examine all records, books, papers or documents related to the grant.
- j) It will establish safeguards to prohibit employees from using positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
- k) It will follow a residential anti-displacement and relocation assistance plan that is in accordance with the provisions of Section 104(d) and all other provisions of the Act.
- l) It will not attempt to recover any capital costs of public improvements assisted in whole or part under Section 106 of the Act or with amounts resulting from a guarantee under Section 108 of the Act by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged to assessment made as a condition of obtaining access to such public improvements, unless (i) funds received under Section 106 are used to pay the proportion of such fee or assessment that relates to the capital costs of such public improvements that are financed from revenue sources other than under this title; or (ii) for purposes of assessing any amount against properties owned and occupied by persons of low and moderate income who are not persons of very low income, the grantee certifies to the Secretary or such State, as the case may be, that it lacks sufficient funds received under Section 106 to comply with requirements of clause (i).
- m) It has or will develop a plan that identifies community development and housing needs, including the needs of low and moderate income persons, and the activities to be undertaken to meet such needs.

- n) Its notification, inspection, testing and abatement procedures concerning lead-based paint will comply with 24 CFR Part 35.
- o) When issuing statements, press releases, request for proposals, bid solicitation and other documents describing the above-mentioned program such as the environmental review, public hearings, fair housing notices, etc., it shall clearly state:
  - 1) the percentage of the total cost of the project which will be financed with CDBG money, and
  - 2) the dollar amount of CDBG funds for the project.
- p)
- 1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- 2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form- LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- 3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grant, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.
- q) It has adopted and will enforce a policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in nonviolent civil rights demonstrations and has adopted and is enforcing a policy of enforcing applicable state and local laws against physically barring entrance to or exit from a facility or location which is the subject of such nonviolent civil rights demonstration within its jurisdiction in accordance with Section 519 of Public Law 101-144, (the 1990 HUD Appropriations Act).
- r) All project areas are either not in a floodplain, or if the project area is in a floodplain, the applicant participates in the flood insurance program. All properties assisted in the project will be covered for flood insurance prior to beginning construction, and all public facilities will be constructed to comply with applicable floodplain regulations.

**CERTIFICATION OF ABILITY**

The County/City of \_\_\_\_\_ hereby certifies its ability to meet Federal Performance and Procurement Requirements with Certification as further expanded in the preceding attachments.

Name of Chief Elected  
Official

Title

Signature

Date

DISCLOSURE OF CIVIL RIGHTS COMPLAINTS/LAWSUITS

The City/County/Town of \_\_\_\_\_ hereby assures and certifies that there are no open, unresolved or pending civil rights complaints or lawsuits against the participating local governments in this Commerce Fellows project. Furthermore, if there are any liens that have been placed on the City/County/Town, this fact must be disclosed and the circumstances of the lien must be described below.

Name of Chief Elected Official

Title

Signature

Date

**CERTIFICATIONS REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS**

Applicants should refer to the regulations cited below. Applicants should also review the instructions for certification included in the regulations before completing this form, signature on this form provides for compliance with certification requirements implementing Federal Executive Order 12549 and guidance issued in the *Federal Register*, Volume 70, No. 168, pages 51863 through 51880 for "Government wide Debarment and Suspension (Nonprocurement)." The certification shall be treated as a material representation of fact upon which reliance will be placed when the Department of Commerce determines to award the covered transaction, grant or cooperative agreement.

As required by Executive Order 12549, Debarment and Suspension, for prospective participants in primary covered transactions:

- 1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
  - a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by a Federal department or agency;
  - b. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.
- 2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above applicable certification(s).

Name of Applicant/Grantee	Project Name
Printed Name and Title of Authorized Representative	
Signature	Date



## INSTRUCTIONS FOR DEBARMENT CERTIFICATIONS

1. By signing and submitting this form, the prospective participant is providing the certification set out on the "Certification Regarding Debarment, Suspension and Other Responsibility Matters" in accordance with these instructions.
2. Consequences of False Certification - The certification is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. Errors in Certifying. - The prospective participant shall provide immediate written notice to the person to which this proposal is submitted if, at any time, the prospective participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. Definitions and Further Guidance - The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause have the meanings set out in the Definitions and Coverage section of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations or you may refer to the *Federal Register*, Vol. 70, No. 168, pages 51863 -51880.
5. Certification Extends to Subcontractors - The prospective participant agrees by submitting this form that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. Certification Included in Subcontracts - The prospective participant further agrees by submitting this form that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. Reliance on Certification - A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transition, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. New System of Records Not Required - Nothing contained in the foregoing should be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Consequences for Use of Ineligible Subgrantees - Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies including suspension and/or debarment.

## SAMPLE CITIZEN PARTICIPATION PLAN

This plan describes how the Unit of Local Government (ULG) Name will involve citizens in the planning, implementation and assessment of the Community Development Block Grant (CDBG) program. The funds must be used for projects which benefit low and moderate-income persons and aids in the elimination and prevention of slums and blight. The program is intended to assist governments in understanding neighborhood improvement programs. The regulations give ultimate responsibility for the design and implementation of the program to local elected officials and also requires that citizens be given an opportunity to serve in a key advisory role to these elected officials.

## SCOPE OF CITIZEN PARTICIPATION

Citizens will be involved in all stages of the CDBG program, including program implementation, assessment of performance and design of changes in the Citizen Participation Plan. There will be three (3) general mechanisms for their involvement:

1. To serve as an advisory committee to the project;
2. To attend or hold public hearings or community meetings; and
3. To provide individual citizen efforts in the form of comments, complaints or inquiries submitted directly to the Program Administrators or designated Town official.

## PROGRAM IMPLEMENTATION

Citizen participation in program implementation will occur primarily through consultation with the Type of ULG. The Type of ULG will be asked to review and comment on specific guidelines for approved projects. They will also meet to review any program amendments, budget revisions and program modifications. All such changes will be discussed with the Type of ULG and their comments considered prior to taking action. If program amendments require approval from the North Carolina Department of Commerce, a public hearing shall be held specifically on the amendment. Citizens may also be involved in implementation of projects specifically requiring citizen participation, such as self-help projects. Their roles will be defined as the project develops. Technical assistance will be available as needed.

## PROGRAM ASSESSMENT

Program assessment activities by citizens will occur in a variety of ways. A performance hearing will be held thirty to sixty (30 to 60) days prior to the start of planning for the next program year. The Program Amendment will be asked to provide citizen commentary for the Grantee Performance Report.

As a part of the orientation to the program offered at the public hearing, citizens will be invited to submit comments on all aspects of program performance through the program year. Comments should be submitted in writing to Name of ULG Representative. He or She will respond in writing within ten (10) days. If the response is unsatisfactory, the complainant should write directly to The ULG Chief Elected Official. He or She shall respond within ten (10) days. If the citizen is still dissatisfied, he/she should write to the NC Department of Commerce, State CDBG Program, 4313 Mail Service Center, Raleigh, NC 27699-4313, Attention: Citizen Participation Matter. Program staff will also be available during normal business hours to respond to any citizen inquiries or complaints at 919-571-4900.

The Citizen Participation Plan will be subject to annual review and proposed revision, to occur in the period between the performance hearing and the public hearing on the subsequent year's application.

## TECHNICAL ASSISTANCE

Technical Assistance will be provided to citizen organizations and groups of low/moderate income persons or target area residents upon request to Unit of Local Government (ULG) Name. Such assistance will support citizen efforts to develop proposals, define policy and organize for the implementation of the program. It is expected that such assistance will be provided directly to the Type of ULG in response to their request.

Assistance could be provided in the form of local presentations, informational handouts, and research of a specific issue or other short-term efforts.

#### PUBLIC INFORMATION

The Unit of Local Government (ULG) Name will also undertake public information efforts to promote citizen participation. These efforts will include the following:

1. Public Notice of all Public Hearings will be published in the non-legal section of the local newspaper at least ten (10) days before the scheduled hearing. These notices will indicate the date, time, location and topics to be considered. These notices will also be made available in the form of press releases, as a public service announcement to local radio stations and will be provided to churches within the target area of distribution.

2. Orientation Information will be provided at the first public hearing. The Program Administrator(s) will make a presentation which covers: (a) the total amount of CDBG funds available and the competitive basis for award; (b) the range of eligible activities; (c) the planning process and the schedule of meetings and hearings; (d) the role of citizens in the program and (e) a summary of other program requirements, such as the environmental policies, fair housing provisions and contracting procedures.

3. A Public File containing program documentation will be available for review at the ULG Office during normal business hours. Included will be copies of the Application, Environmental Review Record, the Citizen Participation Plan and the Annual Performance Report. Other program documents are also available for citizen review on request at the ULG Office consistent with applicable State and local laws regarding personal privacy and obligations of confidentiality.

4. Public Hearings an interpreter will be provided for all non-English speaking individuals and/or deaf individuals.

ADOPTED, this the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
*ULG Chief Elected Official*

\_\_\_\_\_  
*ULG authorized signor*

Town/County \_\_\_\_\_

Town/County \_\_\_\_\_

Jones County Tax Department  
Refund Request

Date: April 11, 2016

Taxpayer(s): Matthew Nicholas Palmieri

Refund To: Matthew Nicholas Palmieri  
4247 Butler Dr. N  
Midway Park, NC 28544

Account Number: 34053.

Reason for Refund: Mr. Palmieri is in North Carolina on military orders. Taxpayer has provided a copy of LES. Taxpayer was billed for 2008 Chevrolet pickup for 2012 that has been released. Jones County received \$135.00 from debt setoff. Taxpayer is requesting a refund of \$135.00.

Property Description: 2008 Chevrolet Pickup  
Bill Number: 12V Tag Number

Tax Period: 2012

Tax Code(s) for Refund: G01

Refund by Tax Code: \$ 135.00

Total Refund: \$ 135.00Tax Collector: 

## EXHIBIT C



## COUNTY OF JONES

## JONES COUNTY TAX OFFICE

Samuel B. Croom  
Tax Administrator

P.O. Box 87  
Trenton, North Carolina 28585-0087

Phone: (252)448-2546  
Fax: (252)448-1080

April 8, 2016

Jones County Tax Collector:

For the Month of March:

2015 Levy Collected by Tax Office:	\$ 156,670.77
2015 Levy Collected by NCVTS:	65,409.18
2006-2014 Levy Collected:	21,945.27
Total Levy Collected:	<u>\$ 244,025.22</u>

A handwritten signature of Samuel B. Croom in black ink, written over a horizontal line.

Samuel B. Croom  
Jones County Tax Administrator

2015 Levy	\$ 6,342,086.57
-----------	-----------------

Collected on 2015 Levy as of 3/31/2016	5,959,577.96
--	--------------

Other Levy Adjustments:

Releases:	49,396.59
Write-Offs:	99.87
Debits /Credits/Refunds	(28,937.30)
Total Levy Reduction:	<u>\$ 5,980,137.12</u>

Percent (%) of Levy Reduced as of 3/31/16:	94.29%
--	--------

Percent (%) of Levy Reduced as of 3/31/15:	94.42%
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## Budget Amendment

Date: 4/18/2016

Fund: General Fund

Fiscal Year: 2015-2016

Amendment #25

Increase Revenue

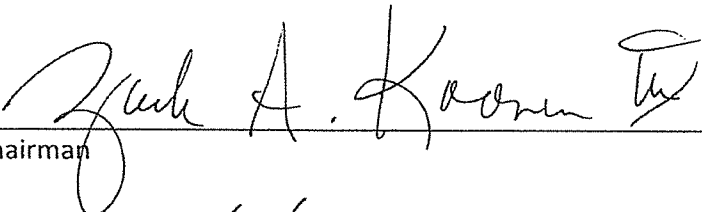
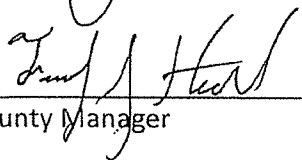
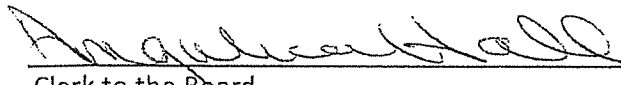

ROD	Records Preservation	11-4180-5560-01	6,500.00
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TOTAL			6,500.00
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Increase Expenditures

Transfers	Transfer to ROD Automation	11-7800-5981-27	6,500.00
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Total			6,500.00
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Chairman  
County Manager  
Clerk to the Board  
Finance Officer

## Budget Amendment

Date: 4/18/2016

Fund: Fund 27 - ROD Automation

Fiscal Year: 2015-2016 Amendment #26

Increase Revenue

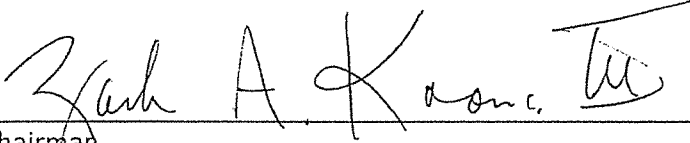
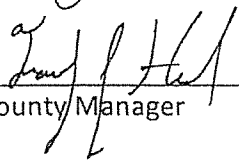
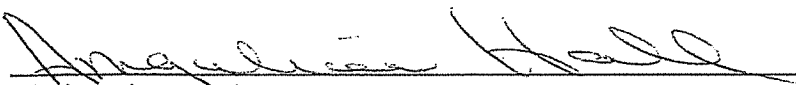

Transfer	Transfer from General Fund	27-0700 4986-11	6,500.00
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TOTAL			6,500.00
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Decrease Revenue

ROD Automation	Fund Balance	27-0991 4991-00	6,500.00
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Total			6,500.00
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Chairman  
County Manager  
Clerk to the Board  
Finance Officer

## Budget Amendment

Date: 4/18/2016

Fund: General Fund

Fiscal Year: 2015-2016

Amendment #27

Decrease Expenditure

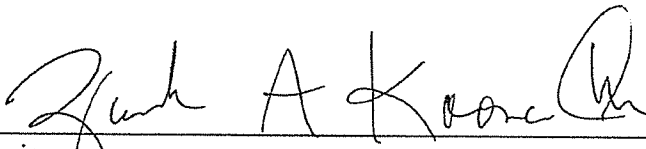
Tax Supervisor	Property Tax Reval	11-4140-5661-00	25,000.00
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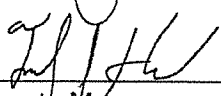
TOTAL			25,000.00
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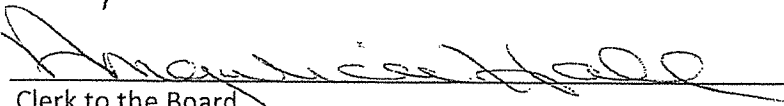
Increase Expenditures

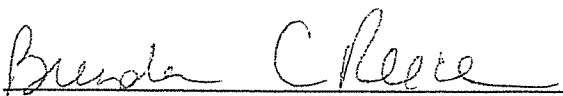
Transfer to Property Reval	Transfers	11-7800-5981-26	25,000.00
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Total			25,000.00
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Chairman

  
County Manager

  
Clerk to the Board

  
Finance Officer



## Budget Amendment

Date: 4/18/2016

Fund: Property Revaluation

Fiscal Year: 2015-2016

Amendment #28

Decrease Revenue

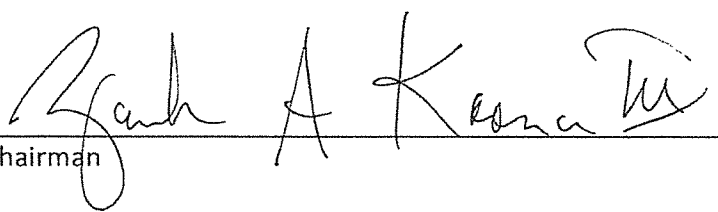
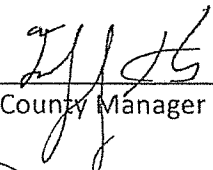
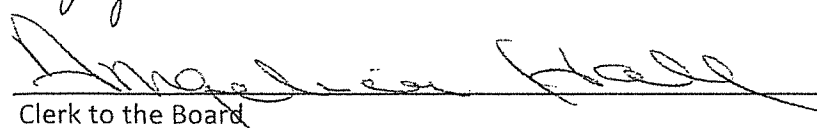
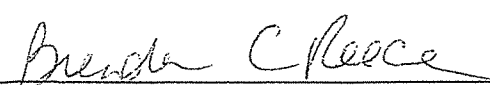
Transfers	Transfer from General Fund	26-0700-4986-11	25,000.00
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TOTAL			25,000.00
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Increase Fund Balance

Fund Balance	Fund Balance	26-0991-4991-00	25,000.00
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Total			25,000.00
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Chairman  
County Manager  
Clerk to the Board  
Finance Officer

## Budget Amendment

Date: 4/18/2016

Fund: Water Fund

Fiscal Year: 2015-2016 Amendment #29

Decrease Expenditure

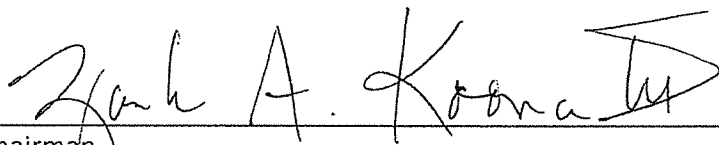
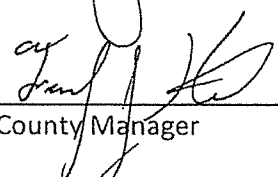


Water Administration Transfers 60-7110 5721-00 120,000.00

TOTAL 120,000.00

Increase Expenditures

Water Transfers 60-7800 5981-11 120,000.00

Total 120,000.00

  
Chairman  
County Manager  
Clerk to the Board  
Finance Officer

## Budget Amendment

Date: 4/18/2016

Fund: General Fund

Fiscal Year: 2015-2016 Amendment #30

Decrease Expenditure

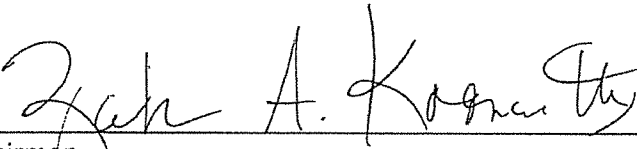

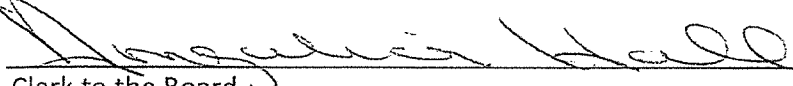
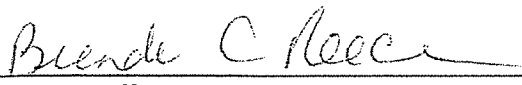
Soil and Water      Advertisements      11-4960-5391-00      550.00

TOTAL      550.00

Increase Expenditures

Soil and Water      Education      11-4960-5395-00      550.00

Total      550.00

  
Chairman  
County Manager  
Clerk to the Board  
Finance Officer



MULTI-BANK SECURITIES, INC.®

**Institutional Suitability Certificate  
FINRA RULE 2111**

**Affirmative Indication by Institution – Exercising Independent Judgment**

In connection with any recommended transaction or investment strategy by a registered broker-dealer, the undersigned acknowledges on behalf of the Institution named below that:

1. *It is an "Institutional Account" as defined in FINRA Rule 4512(c);  
PLEASE CHECK THE APPROPRIATE BOX BELOW*

- ☐ (1) a Credit Union with total assets of \$50 Million or more (or any other entity with total assets in excess of \$50 Million). If a Credit Union (or any other entity) has total assets LESS THAN \$50 Million, check Box 4, and provide your most recent Investment Policy;
- ☐ (2) a bank, savings and loan association, insurance company or registered investment company;
- ☐ (3) an investment adviser registered either with the SEC under Section 203 of the Investment Advisers Act or with a state securities commission (or any agency or office performing like functions);
- ☒ (4) MBS will determine suitability (Please provide your most recent Investment Policy)

2. *It (1) is capable of evaluating investment risks independently, both in general and with regard to all transactions and investment strategies involving a security or securities; and (2) will exercise independent judgment in evaluating the recommendations of any broker-dealer or its associated persons, unless it has otherwise notified the broker-dealer in writing;*
3. *MBS will be notified by the Institutional Account if anything in this Certificate ceases to be true;*
4. *He or she is authorized to sign on behalf of the Institutional Account named below.*

By signing this Certificate, the undersigned affirms that the above statements are accurate but does not waive any rights afforded under U.S. federal or state securities laws, including without limitation, any rights under Section 10(b) of the Securities Exchange Act of 1934, as amended, and the rules and regulations promulgated thereunder.

This Certificate shall apply with respect to all recommended transactions and investment strategies involving securities that are entered into by the "Institutional Account" named in this Certificate, whether for the account(s) of such Institutional Account or for the account of any beneficial owner that has delegated decision making authority to such Institutional Account.

County of Jones

Institutional Account Name

Signature of Authorized Signatory

418 Hwy 58 N, Unit A

Brenda C. Reece

Address

Name of Authorized Signatory

Trenton, NC 28585

Finance Officer

City, State, ZIP

Title of Authorized Signatory

56-6000312

U.S. Tax ID / EIN If applicable)

Date

breece@jonescountync.gov

Email Address

252-448-5111

Phone

ADDRESS 1000 Town Center, Suite 2300  
Southfield, Michigan 48075

2400 East Commercial Boulevard, Suite 812  
Ft. Lauderdale, Florida 33308

Member of FINRA & SIPC; MSRB  
A Veteran-Owned Business

PHONES 800.967.9045  
248.291.1100

800.967.9045  
954.351.6930

FAX 248.291.1101

954.351.9197



MULTI-BANK SECURITIES, INC.<sup>®</sup>  
FINRA, SIPC, MSRB

## NON-CORPORATE RESOLUTION FORM

**I. IDENTIFICATION OF QUALIFIED INTERMEDIARY / WITHHOLDING ENTITY**LEGAL NAME OF ORGANIZATION: County of JonesTYPE OF ORGANIZATION: Local Government

ACCOUNT NUMBER:

Be it resolved that each of the following has been duly elected or appointed and is now legally holding the title set opposite his/her name.

Franky J. Howard

(Name of Authorized Person)

County Manager

(Title)

Brenda C. Reece

(Name of Authorized Person)

Finance Officer

(Title)

(Name of Authorized Person)

(Title)

**II. CERTIFICATION**

I, Zack A. Koonce III, Board of Commissioners Chairperson of  
(Name and Title of Officer or Partner signing this Non-Corporate Resolution)

County of Jones hereby certify that said organization is duly and legally  
(Name of Organization)

organized and existing and that a quorum of the Jones County Board of Commissioners  
(Name of Governing Body of Organization)

of said Organization attended a meeting duly held on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

at which the following resolutions were duly adopted, and that such resolutions are in full force and effect on this date and do not conflict with the G.S. 159-30 Investment of Idle Funds of said organization.  
(Name of Governing Rules)

I further certify that I have the authority to execute this Non-Corporate Resolution on behalf of said Organization, and that the Board of Commissioners of the Organization which took the action called for by the  
(Name of Governing Body of Organization)  
resolutions annexed hereto has the power to take such action.

\*SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

TITLE: Board of Commissioners Chairperson

\*The signer should be someone other than one of the authorized person(s) named above. However, if signed by an authorized person named above, the Fed Wire Letter of Authorization and/or ACH Authorization Agreement must be signed by an authorized person other than the signer of this document.

**III. RESOLUTIONS**

Certified Copy Of Certain Resolutions by the Governing Body of Said Organization Whereby the Establishment and Maintenance of Accounts Have Been Authorized.

RESOLVED –

FIRST: That the named Authorized Persons of this organization or \_\_\_\_\_ or \_\_\_\_\_ be and they hereby are, and each of them is, authorized and empowered, for and on behalf of this organization (herein called the "Organization"), to establish and maintain one or more accounts with Multi-Bank Securities, Inc. (herein called the "Brokers") and Pershing LLC, its successors or assigns, and for the purpose of purchasing, investing in, or otherwise acquiring, selling, possessing, transferring, exchanging, pledging, or otherwise disposing of or realizing upon, and generally dealing in and with;

(a) THIS PARAGRAPH PERMITS CASH TRANSACTIONS IN SECURITIES *BCK*

any and all forms of securities including, but not by way of limitation, ~~shares, stocks, options, stock options, stock index options, foreign currency options and debt instrument options, bonds, debentures, notes, scrip, participation certificates, rights to subscribe, warrants, certificates of deposit, mortgages, chooses in action, evidence of indebtedness, commercial paper, certificates of indebtedness and certificates of interest of any and every kind and nature whatsoever, secured or unsecured, whether represented by trust, participating and/or other certificates or otherwise;~~

(b) THIS PARAGRAPH PERMITS CASH AND MARGIN TRANSACTIONS IN SECURITIES *BCK*

~~any and all forms of securities including, but not by way of limitation, shares, stocks, options, stock options, stock index options, foreign currency options and debt instrument options, bonds, debentures, notes, scrip, participation certificates, rights to subscribe, warrants, certificates of deposit, mortgages, chooses in action, evidence of indebtedness, commercial paper, certificates of indebtedness and certificates of interest of any and every kind and nature whatsoever, secured or unsecured, whether represented by trust, participating and/or other certificates or otherwise; and margin transactions, including short sales;~~

The fullest authority at all times with respect to any such commitment or with respect to any transaction deemed by any of the said Authorized Persons and/or agents to be proper in connection therewith is hereby conferred, including authority (without limiting the generality of the foregoing) to give written or oral instructions to the Brokers with respect to said transactions; to bind and obligate the Organization to and for the carrying out of any contract, arrangement, or transaction, which shall be entered into by any such Authorized Persons and/or drafts drawn upon the funds of the Organization such sums as may be necessary in connection with any of the said accounts to deposit funds with the Brokers; to deliver securities and/or contracts to the Brokers; to order the transfer or delivery thereof to any other person whatsoever, and/or to order the transfer record of any securities, or contracts, or titles, to any name selected by any of the said Authorized Persons or agents; to affix the Organization's seal to any documents or agreements, or otherwise; to endorse any securities and/or contracts in order to pass title thereto; to direct the sale or exercise of any rights with respect to any securities; to sign for the Organization all releases, powers of attorney and/or other documents in connection with any such account, and to agree to any terms or conditions to control any such account; to direct the Brokers to surrender any securities to the proper agent or party for the purpose of effecting any exchange or conversion, or for the purpose of deposit with any protective or similar committee, or otherwise; to accept delivery of any securities, to borrow money and securities, if applicable, and to secure repayment thereof with the property of the Organization; to appoint any other person or persons to do any and all things which any and all things which any of the said Authorized Persons and/or agents is hereby empowered to do, and generally to do and take all action necessary in connection with the account, or considered desirable by such Authorized Persons and/or agents with respect thereto.

SECOND: That the Brokers may deal with any and all of the persons directly or indirectly by the foregoing resolution empowered, as though they were dealing with the Organization directly.

THIRD: That the person signing this Non-corporate Resolution on behalf of the Organization be and hereby is authorized, empowered and directed to certify to the Brokers:

- (a) a true copy of these resolutions;
- (b) specimen signatures of each and every person by these resolutions empowered;
- (c) a certificate (which, if required by brokers, shall be supported by an opinion of the general counsel of the Organization, or other counsel satisfactory to the Brokers) that the Organization is duly organized and existing, that its governing rules empower it to transact the business by these resolutions defined, and that no limitation has been imposed upon such powers by the governing rules of the Organization or otherwise.

FOURTH: That the Brokers may rely upon the certified copy of the resolutions, specimen signatures, and certificate, as continuing fully effective unless and until the Brokers shall receive due written notice of change or rescission, and the dispatch or receipt of any other form of notice shall not constitute a waiver of this provision. nor shall the fact that any person hereby empowered ceases to be an Authorized Person of the Organization or becomes an Authorized Person under some title, in any way affect the powers hereby conferred, but the failure to supply any specimen signature shall not invalidate any transaction where the party authorizing the same has been actually empowered thereto by or in conformity with these resolutions.

FIFTH: That in the event of any change in the office of powers of persons hereby empowered, an Authorized Person shall certify such changes to the Brokers in writing in the manner herein above provided, which notification, when received, shall be adequate both to terminate the powers of the persons therefore authorized, and to empower the persons thereby substituted.

SIXTH: That the Authorized Persons of the Organization be, and hereby is, authorized and empowered to countersign items as aforesaid.

SEVENTH: That the foregoing resolutions and the certificates actually furnished to the Brokers by the Authorized Person of pursuant thereto, be and they hereby are made irrevocable until written notice of the revocation thereof shall have been received by the Brokers.

## CASH ACCOUNT APPLICATION

I (We) would like to open a brokerage account with Multi-Bank Securities, Inc. to be carried by Pershing.  
ACCOUNT INFORMATION (NOTE: ALL INFORMATION MUST BE COMPLETED.) PLEASE TYPE OR PRINT



MULTI-BANK SECURITIES, INC.®  
FINRA, SIPC, MSRB

Account Information	ACCOUNT NAME County of Jones		SOC. SEC. OR TAX I.D. # 56-6000312	
	BUSINESS ADDRESS 418 Hwy 58 N, Unit A	CITY Trenton	STATE NC	ZIP 28585
	ATTENTION Brenda Reece			
	BUSINESS PHONE 252-448-5111		MAIL TO (check one) <input checked="" type="checkbox"/> Business <input type="checkbox"/> Mailing <input type="checkbox"/> P.O. Box	
	FAX 252-448-1072		U.S. ENTITY <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
	MAILING ADDRESS (if different than Business Address)		CITY	STATE
	ATTENTION		ZIP	
HAVE YOU GRANTED TRADING AUTHORIZATION TO ANOTHER PARTY? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes, Request Trading Authorization Form and provide name of agent _____				
Bank or Brokerage Reference	NAME OF FIRM BB&T Bank		BRANCH AND ACCOUNT NUMBER Trenton, NC 0001166350049	
Account Type	<input checked="" type="checkbox"/> CASH (Customer Agreement on reverse side of this application) <input type="checkbox"/> MARGIN (Request Margin and truth in Lending Agreements) <input type="checkbox"/> LLC <input type="checkbox"/> Trust (Trustee Certification Required) <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation (Request Form) <input type="checkbox"/> Option <input type="checkbox"/> Other (Specify) _____			
Investment Profile	INVESTMENT OBJECTIVE <input checked="" type="checkbox"/> Income: An investment approach in which an investor generally seeks current income over time. <input type="checkbox"/> Long-Term Growth: An investment approach in which an investor generally seeks capital appreciation through buying and holding securities over an extended period of time. <input type="checkbox"/> Short-Term Growth: An investment approach in which an investor generally seeks short-term capital gains through buying and selling securities over a short period of time.			RISK TOLERANCE <input checked="" type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
Service Instructions	WHEN SECURITIES ARE SOLD: <input checked="" type="checkbox"/> Hold Proceeds <input type="checkbox"/> Send Proceeds		DIVIDENDS: <input checked="" type="checkbox"/> Hold <input type="checkbox"/> Send	
	WHEN SECURITIES ARE PURCHASED, THEY WILL BE HELD IN FIRM NAME _____		CONTACT YOUR BROKER FOR FREQUENCY OF "SEND" _____	
Municipal Bond Offerings	Official Statements: Municipal bond offering official statements are available electronically at: <a href="http://www.emma.msrb.org/">http://www.emma.msrb.org/</a> Are you interested in hard copy delivery of Municipal Bond Official Statements for this account? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
Taxpayer Certification	TAXPAYER CERTIFICATION: Under penalties of perjury, I certify that: <input checked="" type="checkbox"/> (1) the number shown on this form in Section III is my correct Social Security Number or Taxpayer Identification Number (or I am waiting for a number to be issued to me); <input checked="" type="checkbox"/> (2) I am not subject to backup withholding because (a) I am exempt from backup withholding or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and <input checked="" type="checkbox"/> (3) I am a U.S. citizen or other U.S. person (defined below).			
	CERTIFICATION INSTRUCTIONS: You must check item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. If you are an exempt payee (if you are unsure, ask us for a complete set of IRS instructions), write the words "Exempt Payee" here: _____			
	Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are: (a) An individual who is a U.S. citizen or U.S. resident alien, (b) A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States, (c) An estate (other than a foreign estate), or (d) A domestic trust (as defined in Regulations section 301.7701-7). The signature provided below is that of the primary account holder.			
	Signature: _____ Date: _____			
Signatures	BY SIGNING THIS APPLICATION, I (WE) ACKNOWLEDGE THE FOLLOWING: (1) THAT, IN ACCORDANCE WITH PARAGRAPH #8 OF THE CUSTOMER AGREEMENT, I (WE) AGREE IN ADVANCE TO ARBITRATE ANY CONTROVERSIES WHICH MAY ARISE WITH EACH OR BOTH OF US, (2) RECEIPT OF A COPY OF THE CUSTOMER AGREEMENT ON THE REVERSE SIDE OF THIS APPLICATION AND (3) THE INFORMATION PROVIDED ABOVE IS ACCURATE AND CORRECT.			
	SIGNATURE ▶		DATE	
For Office Use Only	ACCOUNT NO.	INTRODUCING REP. SIGNATURE	REP. NO.	DATE
	VERIFIED <input type="checkbox"/> Yes <input type="checkbox"/> No	BRANCH MGR. APPROVAL		DATE



**CUSTOMER ACCOUNT AGREEMENT**

TO: Multi-Bank Securities (My Broker), and Pershing LLC (Pershing)

Pershing will be responsible for the following: (1) receiving and delivering customer funds and securities; (2) safekeeping customer funds and securities using **ordinary care** (while they are in Pershing's possession or control) in, which, for purposes of this document, ordinary care means the degree of care, which an ordinarily prudent and competent person engaged in the same line of business or endeavor should exercise under similar circumstances in accordance with the rules and regulations of the Securities and Exchange Commission and The Financial Industry Regulatory Authority and segregating such funds and securities as required by applicable law (3) preparing and transmitting to the customer confirmation of trades; and (4) preparing and transmitting to the customer account statements.

1. The client executing this Agreement agrees as follows with respect to the Account I have established with you for the purchase, sale or carrying of securities or contracts relating thereto and/or the borrowing of funds.
2. All transactions for my Account shall be subject to the constitution, rules, regulations, customs and usages of the exchange or market (and Pershing, if any) where executed.
3. The client executing this Agreement agrees that, in giving orders to sell, all "short" sale orders will be designated as "short," and all "long" sale orders will be designated as "long," and that the designation of a sell order as "long" is a representation on my part that I own the security, and if the security is not in your possession or if it is then impracticable to deliver the security to you forthwith, that I will deliver it as soon as possible.
4. Reports of the execution of orders and statements of my account shall be conclusive if not objected to within five days and ten days, respectively, after transmittal to me by mail or otherwise.
5. At any time and from time to time you may, at your discretion, without notice to me, apply and/or transfer any securities, commodities, contracts relating thereto, or any other property or equity therein, interchangeably between any of my accounts, whether individual or joint and from any of my accounts to any account guaranteed by me.
6. In consideration of your carrying my account with a Post Office Box Address, or your sending any mail to me in care of a third party, I hereby agree that "all correspondence of any nature whatsoever" sent to me in such address will have the same force and effect as if it had been delivered to me personally. I have listed my permanent address on the New Account Application.
7. To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. What this means for you: When you open an account, we will ask for your name, address, date of birth, and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.
8. This agreement contains a pre-dispute arbitration clause. By signing an arbitration agreement the parties agree as follows:
  - a. All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
  - b. Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
  - c. The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
  - d. The arbitrators do not have to explain the reason(s) for their award.
  - e. The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
  - f. The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases a claim that is ineligible for arbitration may be brought in court.
  - g. The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement. The undersigned agrees, and by carrying and/or introducing an account of the undersigned you agree, that all controversies which may arise between us, including but not limited to those involving any transaction or the construction, performance, or breach of this or any other agreement between us, whether entered into prior, on or subsequent to the date hereof, shall be determined by arbitration. Any arbitration under this agreement shall be conducted before the New the Financial Industry Regulatory Authority. ("FINRA"), and in accordance with its rules then in force. I may elect in the first instance whether arbitration shall be conducted before FINRA, but if I fail to make such election, by registered letter or telegram addressed to you at your main office, before the expiration of five days after receipt of a written request from you to make such election, then you may make such election. Judgment upon the award of arbitrators may be entered in any court, state or federal, having jurisdiction. Class-action matters are excluded from arbitration proceedings conducted by the FINRA. Therefore, it is further agreed that the parties to this agreement shall not bring a putative or certified class-action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class-action; or who is member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until: (i) the class certification is denied; or (ii) the class is decertified; or (iii) the customer is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein.
9. Investment Objective Definitions: Capital Preservation - a conservative investment strategy characterized by a desire to avoid risk of loss; Income - strategy focused on current income rather than capital appreciation; Growth - investing in stocks with strong earnings and/or revenue growth or potential; Speculation - taking larger risks, usually by frequent trading, with hope of higher than-average gain. All strategies involve various types and levels of risk, the most common of which are market, credit, inflation, business and interest rate.
10. This Agreement and its terms shall be binding upon Client's successors, administrators, liquidator, receiver, trustee, assignee, custodian, conservator or other similar official ("successors"). In the event of Client's insolvency or bankruptcy whether or not any successors of its assets shall have qualified or been appointed, until Pershing and My Broker has written notice of Client's insolvency or bankruptcy Pershing and My Broker may continue to operate as though Client were solvent and not bankrupt and Pershing and My Broker may liquidate its Account WITHOUT PRIOR WRITTEN NOTICE TO OR DEMAND upon its successors. This Agreement shall inure to the benefit of Pershing's and My Broker's successors and assigns, whether by merger, consolidation or otherwise (and Pershing and My Broker may transfer Client's Account and this Agreement to any such successors and assigns) WITHOUT NOTICE. Client may not assign its rights or delegate duties under this Agreement without Pershing's and My Broker's consent.

<b>Form W-9</b> (Rev. December 2011) Department of the Treasury Internal Revenue Service	<b>Request for Taxpayer Identification Number and Certification</b>	Give Form to the requester. Do not send to the IRS.
Name (as shown on your income tax return) <b>County of Jones</b>		
Business name/disregarded entity name, if different from above		
Check appropriate box for federal tax classification: <input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ <input type="checkbox"/> Exempt payee <input checked="" type="checkbox"/> Other (see instructions) ▶ <b>Local Government</b>		
Address (number, street, and apt. or suite no.) <b>418 Hwy 58 N, Unit A</b>		Requester's name and address (optional)
City, state, and ZIP code <b>Trenton, NC 28585</b>		
List account number(s) here (optional)		

<b>Part I Taxpayer Identification Number (TIN)</b>	
Enter your TIN in the appropriate box. The TIN provided must match the name given on the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see <i>How to get a TIN</i> on page 3.	
Social security number <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div>	Employer identification number <div style="border: 1px solid black; width: 150px; height: 20px; margin: 5px 0; display: flex; align-items: center; justify-content: space-between; padding: 0 5px;"> <span>5</span><span>6</span><span>-</span><span>6</span><span>0</span><span>0</span><span>0</span><span>3</span><span>1</span><span>2</span> </div>

<b>Part II Certification</b>	
Under penalties of perjury, I certify that:	
1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and	
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and	
3. I am a U.S. citizen or other U.S. person (defined below).	
<b>Certification instructions.</b> You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 4.	
Sign Here	Signature of U.S. person ▶ _____  Date ▶ _____

## General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

## Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

Note. If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.

MULTI-BANK SECURITIES, INC.®  
FINRA, SIPC, MSRB

## ACH AUTHORIZATION AGREEMENT (Institutional)

Please complete the following and return to Multi-Bank Securities, Inc. to begin the electronic transfer of funds between your brokerage account and your bank account. You may begin depositing funds into your brokerage account from your bank account, or send payments to your bank account from your brokerage account. All transactions are processed through the Automated Clearing House (ACH) system.

**I. ACCOUNT INFORMATION**

ACCOUNT TITLE: Jones County

ACCOUNT NUMBER: RMB-

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**II. BANK ACCOUNT INFORMATION**

ABA NUMBER: 053101121

DDA NUMBER: 0001166350049

BANK NAME: BB &amp; T Bank

CITY: Trenton

STATE: NC ZIP: 28585

ACCOUNT TYPE: ☒ CHECKING ☐ SAVINGS

I hereby authorize Pershing LLC, to initiate credit/debit entries to the bank account indicated above and further authorize my bank to debit the same to such account.

This authority is to remain in full force and effect until Pershing has received written notification from me of its termination in such time and in such manner as to afford Pershing and my bank a reasonable opportunity to act on it. It is understood that if the systematic reinvestment system is selected, the purpose of this authorization is to provide a means of payment for purchases of securities through my investment professional or financial organization.

Please accept this form as verification that the registered name at BB & T Bank (Institution) has an account with the above registration and account information for debiting or crediting into the bank account.

(Must be signed by an authorized member of your firm whose signature is also on your submitted Corporate/Non-Corporate Resolution)

AUTHORIZED SIGNER

NAME: Brenda C. Reece

SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

**PLEASE SELECT YOUR ACH OPTIONS****ACH OPTIONS**

- ☒ **ON-DEMAND** (Default setting for all accounts) This selection sets up an ACH profile that allows Multi-Bank Securities, Inc. to initiate an ACH transfer for any available cash in the customer's security account. Both income (dividends and interest) and principal (redemptions) can be included in these transfers.

\_\_\_\_\_ ☒ Allow Multi-Bank Securities, Inc. to debit your bank account at your request to cover settlements.  
(INITIALS)

- ☐ **PERIODIC INCOME** This selection sets up an ACH profile that will transfer funds that are the result of dividend and interest payments on a periodic basis. Funds that are the result of principal redemptions (maturities, calls, sales) are not included in these automated transfers. Periodic options are:

☐ SEMI-MONTHLY ☐ MONTHLY ☐ BI-MONTHLY ☐ QUARTERLY ☐ SEMI-ANNUALLY ☐ ANNUALLY

Monthly transfers are based on the calendar day. Although there is no option for 'last day of the month', you can arrange with your account representative to sweep the account "on-demand" at any preferred interval or time of month.

Please select a starting date (allow 5 business days for processing): \_\_\_\_\_ (mm/dd/yyyy)

For corporate accounts, a corporate resolution displaying the corporate stamp, and a letter from the corporation authorizing the specific transactions for which you are permitted to debit and credit the bank account, must accompany this authorization.



MULTI-BANK SECURITIES, INC.

FINRA, SIPC, MSRB

Standing Instructions  
**LETTER OF AUTHORIZATION**  
(Fed Wires)

Date: \_\_\_\_\_

To: Multi-Bank Securities, Inc.

Account #: \_\_\_\_\_

Account Name: County of Jones

Please accept these standing instructions as authorization to wire funds upon my verbal request from the above referenced account to:

Name of Bank: BB&T BankCity, State: Trenton, NCABA# 053101121For Credit to: Jones County Central DepositoryAccount # 0001166350049

For further credit to: \_\_\_\_\_

FFC Account # \_\_\_\_\_

Please use this letter as permanent authorization until rescinded in writing by me.

\*Signature \_\_\_\_\_ Date \_\_\_\_\_

\* Signer must be an authorized person identified on the current Resolution document and NOT the signer of the Resolution document.

ADDRESS 1000 Town Center, Suite 2300  
Southfield, Michigan 48075  
PHONES 800.967.9045  
248.291.1100  
FAXES 248.291.1101

2400 East Commercial Boulevard, Suite 812  
Ft. Lauderdale, Florida 33308  
800.967.9045  
954.351.6930  
954.351.9197

## EXHIBIT F

## Term Contract No. 946A

STATE OF NORTH CAROLINA, DEPARTMENT OF ADMINISTRATION		
DIVISION OF PURCHASE AND CONTRACT		
116 West Jones Street, Raleigh, NC 27603-8002		
Term Contract	946A	Procurement Card
Effective Dates	July 1, 2006, through June 30, 2016	
Bid Number	501220	
Administrator	Margaret Serapin	
Phone	(919) 807-4529	
Fax	(919) 807-4510	
E-Mail	Margaret.Serapin@doa.nc.gov	
Last Updated	November 3, 2015	

**1. General Information:**

Procurement cards (also known as purchasing cards) enable organizations to make small purchases more quickly and efficiently by minimizing paperwork and processing time. Similar to familiar VISA, MasterCard, etc., forms, procurement cards can be processed by vendors just like personal charge cards. (They do not have to enroll specifically in a procurement card program.) Rather than making multiple small payments to many vendors, the using organization writes one check to the card provider.

Users, accounts payable, and purchasing can all benefit from the cards' streamlined process. It also offers an easy method of making emergency purchases (for repairs, for example). Vendors receive payment from the card processor within a few days, without extra paperwork, thus encouraging small local businesses to do business with the State.

Under P&C's contract with Bank of America for their VISA card, there is no charge for issuance or maintenance of the cards. (Costs for special programming and related services are shown on [http://www.doa.state.nc.us/PandC/BOA\\_rebateschedule.pdf](http://www.doa.state.nc.us/PandC/BOA_rebateschedule.pdf))

Control of the program is with the purchasing officer or chief fiscal officer, who determines who may use the cards and for what types of purchases.

Rebates based on total statewide annual volume will be paid to participating agencies. See [http://www.doa.state.nc.us/PandC/BOA\\_rebateschedule.pdf](http://www.doa.state.nc.us/PandC/BOA_rebateschedule.pdf) for details.

**2. Definitions:**

- a) **COMMUNITY COLLEGE:** Any of the fifty-eight (58) public North Carolina Community Colleges.
- b) **LOCAL CARD PROGRAM ADMINISTRATOR:** Manager of the purchasing card program. Responsible for the overall Procurement Card Program for their Agency/Entity including program management and oversight, developing policies, procedures and procurement card manual, providing effective training for users, ensuring program compliance and quality assurance, acting as the liaison between the Bank and the Using Agency/Entity, and setting up accounts.
- c) **OTHER ELIGIBLE ENTITIES:** Entities, other than State Agencies, that are authorized to participate in and purchase from a Statewide Term Contract by complying with State rules and procedures and the terms and conditions set forth in the Contract resulting from this solicitation, including Non-profit corporations operating charitable hospitals; Local non-profit community sheltered workshops or centers that meet standards established by the Division of Vocational Rehabilitation of the Department of Health and Human Services; Private non-profit agencies licensed or approved by the Department of Health and Human Services as child placing agencies, residential child-care facilities; Private nonprofit rural, community, and migrant health centers designated by the Office of Rural Health and Resource Development; Public and Private higher education institutions; Counties, cities, towns, and other local governmental entities; Public school units; Volunteer fire departments, rescue squads.
- d) **PARTICIPATING AGENCY:** All Entities, State Agencies, and State Departments using this Term Contract.
- e) **STATE:** The State of North Carolina, including any of its sub-units recognized under North Carolina law.

## Term Contract No. 946A

- f) **STATE AGENCY:** Any of the more than 400 sub-units within the executive branch of the State, including its departments, boards, universities, community colleges, commissions of higher education and other institutions.
- g) **STATE DEPARTMENTS:** Department of Administration, Department of Agriculture, Department of Commerce, Department of Cultural Resources, Department of Environmental And Natural Resources, Department of Health and Human Services, Department of Insurance, Department of Justice, Department of Labor, Department of Public Instruction, Department of Public Safety, Department of Revenue, Department of State Treasurer, Department of the Secretary of the State, Department of Transportation, Wildlife Resources Commission, Office of Information Technology Services, Office of Budget and Management, Office of the Governor, Office of the Lieutenant Governor, Office of The State Auditor, Office of the State Controller.

**3. Scope of Contract:**

- a) The cards are for official use only. Improper use of a card must be dealt with by the agency in the same way it would handle wrongful use of any purchasing process (petty cash, local pick-up authorization, or purchase order). Agencies are strongly advised to make signed acknowledgment of all procedures, regulations, etc., prerequisite to receipt of a card.
- b) Procurement cards do not change WHAT you can buy; they offer another means to process the purchase. Term contract items will still be bought from vendors on contract but you may be able to process small orders with the card. Competition is to be sought on open-market items as you would for other small purchases.
- c) **Transaction limits for State Agencies and State Departments.** Each transaction on the procurement card is not to exceed \$2,500. Agencies may set lower limits either for all purchases or specific cases, as they think best. Purchases can be limited by amount per transaction, total per time period, number of purchases per period, Merchant Category Codes (MCC), and in many other ways. Each card can have specific controls unique to that cardholder's responsibilities. Exceptions to this limit are described in 01 NCAC 05B .1523 PROCUREMENT CARDS (See Section 9.)
- d) **Transaction limits for Other Eligible Entities.** Other Eligible Entities may set limits either for all purchases or specific cases, as they think best. Purchases can be limited by amount per transaction, total per time period, number of purchases per period, Merchant Category Codes (MCC), and in many other ways. Each card can have specific controls unique to that cardholder's responsibilities. Other Eligible Entities should develop a Procurement Card Manual specific to their organization and monitor card usage on a regular basis to insure cards are being used appropriately.
- e) **Choose cardholders carefully.** The most likely candidates are those employees who have frequent need to make small purchases and who have demonstrated that they are responsible and will follow proper procedures. In exchange for a faster way of making purchases, cardholders must be willing and able to keep good records for accounting/reporting purposes. (This may be as simple as a receipt envelope and log sheet, but is very important.)

By designating cardholders, the participating agency shall represent and warrant that:

- (1) Each Cardholder is a current employee or agent of Agency; and
  - (2) The identification information relating to the Cardholder is accurate and consistent with the information contained in Agency's employment records.
- f) The full balance is to be paid at least once a month, as specified in our contract with Bank of America. Payment of interest goes against the State's Cash Management Plan. You can choose the best billing date for your accounting cycle when your agency's card program is established with Bank of America. If there is a questionable transaction on the statement, it can be coded as "disputed" (Ask your account representative for more information.).
  - g) The card program does not change existing reporting requirements. You still must account for taxes (both in-state and out-of-state), report HUB expenditures, and maintain sufficient budget information to comply with the Executive Budget Act and related statutes. Your Chief Fiscal Officer must certify annually that your agency is in compliance. Start planning how your agency will handle these requirements before the first card is issued! Bank of America can provide a variety of reports to assist you. In addition, there are several automated models created by state agencies and university campuses, who are willing to share them. If you are unsure how to handle a

## Term Contract No. 946A

particular category of purchases, prohibit or block that.

NOTE: Many agencies require their cardholders to get an itemized receipt at time of purchase so expenses can be assigned to the correct account code. This is easier than receiving separate invoices later from the merchant, but still provides necessary information.

- h) **Maintain control of your program.** Purchasing and accounting must work together on a regular basis to monitor card use and make any changes needed. Make full use of Bank of America's reporting mechanisms as management tools. Report lost or stolen cards immediately. Be sure cardholders return their cards when they leave or change jobs.

#### 4. Procurement Card Violation Reporting

Any serious violation involving suspected theft, fraud, or similar misuse of a procurement card, which has been reported to and/or investigated by the State Bureau of Investigation or other law enforcement agency, shall be reported by the local card program administrator to the Division of Purchase and Contract (P&C) within not more than thirty (30) calendar days after referral to the law enforcement agency. A follow-up report describing resolution of each case is due to P&C within thirty (30) calendar days after final resolution.

Specific identifying information, especially, that related to an investigation, is not needed and should not be included in your report to P&C. Follow the law enforcement agency's guidelines on confidentiality.

NOTE: Local card program administrators are encouraged (though not required) to provide P&C with information on less serious violations and how these were resolved. This will assist in ongoing program administration and enhancement.

#### 5. Procurement Card Cancellation

Lost or stolen card shall be reported to the p-card issuer immediately, and that account number cancelled. (A new account number/card can be requested if needed.)

As part of review of possible misuse of a card, the program administrator shall consider cancellation if warranted.

Each participating agency shall have policies/procedures to ensure p-cards are turned in prior to departure of a terminated or retiring employee, so the account can be closed.

If an employee transfers to another section or to different responsibilities, review to determine whether the p-card is still needed shall be conducted (by card program administrator, local contact, etc.)

At least annually, the card program administrator at each location shall review account activity and determine whether inactive cards should be cancelled.

#### 6. Implementation

The chief purchasing or fiscal officer of the requesting agency shall send a PCard Participation Letter (see below) to the P&C contract administrator requesting to participate in the procurement card program and identifying the agency's local card program administrator. After confirmation that the agency's compliance review (if applicable) is current and favorable, a welcome letter will be sent to the agency with a copy to the contractor. Agency and contractor can then begin to plan implementation.

Rules governing procurement cards (01 NCAC 05B .1523 PROCUREMENT CARDS) are shown in Section 9 of this document for reference.

(PCard Participation Letter for State Agencies and State Departments)  
<http://www.pandc.nc.gov/PCardParticipationLetter.pdf>

(PCard Participation Letter for Other Eligible Entities)

Term Contract No. 946A

**7. Contractor Contacts:**

Contractor Name	Address / Federal ID	City, State, Zip	Contact, Phone, Fax
Bank of America Sales Manager	NC1-002-07-07 101 South Tryon Street	Charlotte NC 28255	Tracey Wopperer Director Senior Card Account Manager 980-388-7297 (tel.) 980-233-7643 (fax) <a href="mailto:tracey.wopperer@baml.com">tracey.wopperer@baml.com</a>

**Contractor's Specialized Contacts:**

Works or Other Technical Questions and File Delivery	888-589-3473 <a href="mailto:commcardthd@bankofamerica.com">commcardthd@bankofamerica.com</a>
Day-To-Day General Account Servicing	Pat Roberson, Officer Treasury Service Advisor GWBT&O Bank of America Merrill Lynch Phone: 757-213-8310 Fax: 704-208-3115 <a href="mailto:Pat.Roberson@baml.com">Pat.Roberson@baml.com</a>
Fraud:	866-500-8262
Dispute resolution:	800-410-6465
Escalation/Optimization/Strategic Planning for Existing Clients:	Tracey M. Wopperer SVP - Senior Card Account Manager Global Commercial Bank Bank of America Merrill Lynch Bank of America, N.A. Phone: 980-388-7297 Fax: 980-233-7643 <a href="mailto:tracey.wopperer@baml.com">tracey.wopperer@baml.com</a>
To Establish a New Procurement Card and/or ePayables Program:	Richard (Rick) T. Brown Senior Vice President Public Sector Banking Bank of America, N.A. 3100 Tower Blvd., Suite 910 Durham, NC 27707 Phone: 919-433-5641 Fax: 919-433-5616 <a href="mailto:Rick.Brown@baml.com">Rick.Brown@baml.com</a>



Term Contract No. 946A

8. CONTRACT ADDENDUMS:

Effective Date	Addendum Number	Description
March 17, 2008	1	Contract Administrator changed to Garey Graham
August 8, 2013	2	Contract Administrator changed to Avery Johnson
January 22, 2014	3	Contract Administrator changed to Kimberly Williams
June 16, 2014	4	Contract Extension
October 2, 2014	5	Revised "Schedule of Rebates" and Rebate Grid
March 3, 2015	6	Updated Bank of America Contact Information
September 24, 2015	7	Contract Administrator Change to Sherri Garte
November 3, 2015	8	Contract Administrator Change to Margaret Serapin

## 9. Rules Governing Procurement Cards for State Agencies

## 01 NCAC 05B .1523 PROCUREMENT CARDS

(a) Procurement cards (organizational charge cards) are for official use only and shall be used in accordance with this Section and with the statewide contract established and maintained by the Division of Purchase and Contract. Use of procurement cards by any agency is contingent on satisfactory compliance review, as determined by the Division of Purchase and Contract. As the State's electronic procurement system is implemented, it shall be used to the fullest extent possible, including issuance of purchase orders. Procurement cards may be used as a payment mechanism within e-procurement if permitted by fiscal policies of the agency.

(b) Procurement card transactions processed through the State's electronic procurement system, utilizing the card as a payment mechanism within electronic workflow and approval processes, may be in any amount consistent with agency fiscal policies.

(c) For procurement card transactions processed outside the State's electronic procurement system, the per-transaction limit shall be two thousand five hundred dollars (\$2,500.00). This limit may be changed only under the following circumstances:

- (1) In an emergency (as defined by 01 NCAC 05B .1602 or Governor's declaration), the agency card program administrator may request higher limits on cards in critical areas. Such increases shall be in effect no longer than the duration of the emergency. Requests for increased limits are to be made through the Division of Purchase and Contract if time permits and must be reported to Purchase and Contract in any case.
- (2) Agencies may apply to the SPO for higher limits on specific types of transactions, with justification required.
- (3) The SPO may adjust limits based on analysis of the procurement card program's results, on a statewide or agency basis, after taking into consideration current market trends, the economy, and recommendations received from the State Controller and the State Auditor.

(d) Each participating agency shall designate a procurement card program administrator, who shall be the chief purchasing officer or chief fiscal officer (or person specifically designated by either of these).

- (1) All cards requested on behalf of the agency shall be sent to the program administrator (not to individual cardholders) by a traceable delivery method.
- (2) Cards shall show the agency name, cardholder, the state seal or agency logo, and indicate they are for official use only.

(e) The card program administrator, in consultation with the agency's chief executive or fiscal officer, shall determine appropriate limits by per-transaction amount (not to exceed the statewide per-transaction limits set in Paragraphs (b) or (c) of this Rule) total per billing cycle, merchant categories, and similar factors. Agencies shall submit a copy of their procurement card policies and procedures to the Division of Purchase and Contract within 90 days after program implementation and thereafter whenever such policies or procedures are updated.

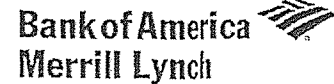
(f) The card program administrator shall determine compliance with agency policy and procedures, including cardholders' acknowledgement prior to issuance of cards, account reconciliation, and security.

**Term Contract No. 946A**

(g) Agencies shall comply with procurement card policies prepared and disseminated by oversight fiscal offices (e.g., Office of the State Controller for state departments) governing those agencies under their responsibility.

(h) No other charge cards that obligate payment by the agency or the State shall be used unless an existing contract obligation requires its use, but that obligation shall be discontinued no later than June 30, 2003. Requests for exceptions to this rule shall be submitted in writing to the State Purchasing Officer. Consideration of requests will be based on need, compliance reviews and contract obligations.

*History Note: Authority G.S. 143-49(8);  
Temporary Adoption Eff. July 1, 2002;  
Eff. April 1, 2003.*

**BANK OF AMERICA VISA PURCHASING CARD APPLICATION**Does your Organization currently bank with Bank of America, N.A. USA Yes \_\_\_\_\_ No X?Organization Information (Please type or print): Local Government

Name of Organization (As it will appear on card): Limit 24 spaces:

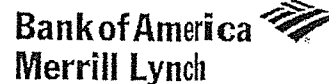
C O U N T Y O F J O N E S

Organization Legal Name County of JonesStreet Address 418 Hwy 58 N, Unit ACity/State/Zip Trenton, NC 28585Tax ID # 56-3000312Business Phone 252-448-5111No. of Employees 112

Type of Organization: University \_\_\_\_\_ Community College \_\_\_\_\_ State Agency \_\_\_\_\_  
Municipality \_\_\_\_\_ District School Board \_\_\_\_\_ State Department \_\_\_\_\_  
County X Other (specify) \_\_\_\_\_

**Program Administrator(s):** (attach additional list if necessary)Name Brenda ReeceTitle Finance OfficerBusiness Address 418 Hwy 48 N, Unit ACity Trenton State NC Zip 28585 Business Phone 252-448-5111E-mail address breece@jonescountync.gov Fax number 252-448-1072Name Amanda Meadows Title Assistant Finance OfficerBusiness Address 418 Hwy 58 N, Unit ACity Trenton State NC Zip 28585 Business Phone 252-448-5111E-mail address ameadows@jonescountync.gov Fax number 252-448-1072**Program Information:**

1. What is the total dollar amount of your annual purchases? \$103,795.00
2. What is your projected annual spending volume with the Purchasing Card (total)?  
Yr 1 Anticipated Volume \_\_\_\_\_ Pilot \_\_\_\_\_ Rollout \_\_\_\_\_
3. What is your average small dollar purchase amount (for use as a guideline)? \$30.00
4. What brand is your Finance and Procurement System: Munis by Tyler Technologies
5. Do you use other systems for your card program? Such as cost allocation, expense tools, eProcurement, etc.  
No



6. What are your annual payables? \$11, 044,987.81 How many invoices do you process annually? 16,295
7. What types of purchases do you plan to use the Purchasing Card for (travel, office supplies, etc.)? Travel, office supplies, small dollar purchases
8. How many cards do you anticipate initially? 10 At full implementation? 15
9. When do you plan to implement a Purchasing Card program (target date)? June 15, 2016

**Planned Reporting Method:**  
**Features:**

- ☐ EDI
- ☐ Statement Billing (ASCII File)
- ☐ Visa Information Management
- ☒ Works
- ☒ Paper

**Planned Payment Method:**

- ☐ ACH Credit
- ☐ ACH Debit
- ☐ Wire Transfer
- ☐ Check

**Additional Technology**

- ☐ Cost Allocation Process
- ☐ eProcurement
- ☐ ePayables

**Signature and Authorization:**

The Organization named above (the "Organization"), by the signature of its authorized officer below, requests that a Visa Purchasing Card account be established by Bank of America, N.A. (USA) in the name of the Organization, and that Visa Purchasing Cards be issued to the representatives of the Organization as the Organization designates from time to time. The Organization acknowledges that it has read a copy of, and agrees to be bound by, the terms and conditions contained in the State of North Carolina's statewide procurement card contract (Contract #946A resulting from RFP#501220) and amendments which may be added from time to time (collectively the "Agreement") administered by the North Carolina Division of Purchase and Contract. The Organization understands that its participation in the Purchasing Card Program may be terminated if it fails to make timely payments hereunder or as otherwise set forth in the Agreement. If the Agreement is terminated, Bank of America may, at its option, upon notice to the Organization, terminate Organization's account or issue new terms for the account. Organization represents and warrants that (i) this Agreement is a duly authorized, legal, valid, binding and enforceable obligation and (ii) its performance of its obligations under this Agreement will not violate any law, regulation, judgment, decree or order applicable to Organization. This agreement is effective as of the date written below.

Name (print): Brenda Reece

Title: Finance Officer

Signature: \_\_\_\_\_

Organization: County of Jones

Date: 4/18/16

**TO ENSURE PROMPT PROCESSING, CONFIRM THAT THE FOLLOWING IS PROVIDED:**

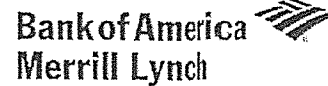
**Complete Application:** Complete all sections of the Application including Signature(s) and Authorization and Resolution.

**Financial Statements:** Enclose three most recent years audited financial statements or three most recent years tax returns (if applicable).

Submit the completed Application, along with required documentation to:

Bank of America  
Tracey Wopperer, Director  
Sr. Product Sales Specialist  
101 South Tryon Street  
Mailstop: NC1-002-07-07  
Charlotte, NC 28255

For questions about this application contact Tracey Wopperer at 980-388-7297; fax 980-233-7643 Email: tracey.wopperer@baml.com



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### AGREEMENT CERTIFICATION

I certify that each signature appearing on the previous page for Organization is the true signature of a person authorized to execute the form on behalf of Organization, and I further certify that I have full authority to execute this certification. The Bank is entitled to rely upon this certification until written notice of its revocation is delivered to the Bank.

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**Guidelines for completion:** This Certification should not be signed by the individual who signed the Agreement. It should be signed by Organization's counsel, or any other individual as permitted by Organization's organizational documents.

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County of Jones

(ORGANIZATION'S LEGAL NAME)

[Signature]

Zack A. Koonce III

[Print Name]

Chairperson, Board of Commissioners

[Title]

*County of Jones*  
*Finance Office*

418 Hwy 58 N, Unit A  
Trenton, North Carolina 28585  
(252) 448-7571  
Franky Howard, County Manager

April 18, 2016

State of North Carolina  
Department of Administration  
Attention: Kimberly Williams  
1305 Mail Service Center  
Raleigh, NC 27699-1305

Subject: Bank of America Purchasing Card Contract

Dear Ms. Williams:

The County of Jones has been exploring the use of Purchasing Cards with Bank of America, the State of North Carolina's Purchasing Card Contractor. At this time we are ready to begin gathering information needed for account setup, such as initial cardholders, payment options, credit line, transaction or dollar limits, etc.

We request that we be allowed to participate in the State arranged program and "piggy back" the current agreement with Bank of America.

We realize that the procurement card is a payment mechanism. It does not change our existing requirements for competition, use of term contracts, or accountability. We further acknowledge that our program will be subject to NCAC T01:05b.1523.

Listed below is our Program Administrator contact information for the Purchasing Card Program:

Program Administrator Name: Brenda Reece  
Email address: [breece@jonescountync.gov](mailto:breece@jonescountync.gov)  
Phone Number: 252-448-5111

Thank you for your assistance, we look forward to your reply.

Best Regards,

Franky Howard  
Jones County  
County Manager

cc: Tracey Wopperer, Bank of America

Works®

Bank of America  
Merrill Lynch

## Less process. More productivity.

Works® offers leading-edge technology enabling you to expand your card program beyond traditional limits, elevating purchasing cards to your payment method of choice. The simple, web-based solution automates, streamlines and integrates your existing payment authorization and reconciliation process, resulting in enhanced efficiencies and reduced costs.

- Have every aspect of program management, reconciliation and workflow approval in a single application
- Process, spending controls with online reconciliation, management approval and automated general ledger integration
- Automate your expense allocation and information management activities

### Full online and real-time administration functions

- Transactions can be routed for post-purchase approval by the appropriate manager and accountant from your organization
- Pre-approve a purchase by dynamically adding funds to a card once a request is approved
- Real-time, online management of card controls (for example, credit limits, MCC restrictions)

### Online, on-demand, configurable reporting

Access required data and dashboard reporting for easy access to spend information for managers and auditors.

- Real-time or batch integration with your ERP
- On-demand file download of reconciled transactions
- A variety of download formats
- Availability of pre-configured report templates and configurable, ad hoc reporting
- Spend monitors to help you track and report spending
- Online self-service, real-time reporting and payment initiation is available to you with 24/7 global access¹

### Dedicated implementation consultant

Determines your specific needs, and implements the features that fit your requirements. Provides ongoing support throughout the entire implementation process.

### Check payment conversion

ePayables service allows you to convert check payments to cards by integrating into an AP module and sending a file to Bank of America Merrill Lynch to process card payments.

### Reduce cardholder allocation errors

Map and configure up to 10 G/L segments, specify required validation segments, or use the G/L assistant tool to reduce cardholder allocation errors by enabling your cardholders to pick from a limited list of personally authorized cost center codes.

### Multiple credit options

- Declining balance charge cards and zero-dollar cards for better control
- Multiple restoration of available credit options

### Receipts imaging

Store faxed receipt images for purchase and travel transactions when an expense report is created. An alternative to store and retrieve receipts, this feature provides one platform to manage your expenses.

### Push file delivery

Push file delivery automates the reporting and data delivery process. This leverages the already robust report generation/customization feature in Works and provides seamless and automated transmission of your data. Push files can also help reduce your time in generating and downloading reports, and allows you to integrate report data into your back-office systems.

### Work with a global leader in working capital

To learn more, including terms and conditions that may apply, contact your Bank of America Merrill Lynch representative today. Visit [bankofamerica.com](http://bankofamerica.com).

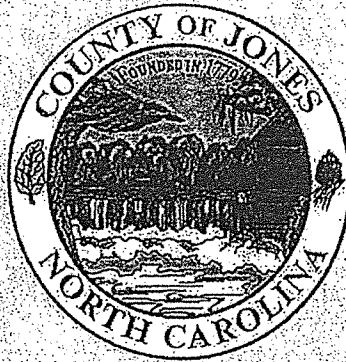
¹System is not available for a two-hour weekly maintenance period every Thursday evening.

"Bank of America Merrill Lynch" is the marketing name for the global banking and global markets businesses of Bank of America Corporation. Lending, derivatives, and other commercial banking activities are performed globally by banking affiliates of Bank of America Corporation, including Bank of America, N.A., member FDIC. Securities, strategic advisory, and other investment banking activities are performed globally by investment banking affiliates of Bank of America Corporation ("Investment Banking Affiliates"), including, in the United States, Merrill Lynch, Pierce, Fenner & Smith Incorporated and Merrill Lynch Professional Clearing Corp., all of which are registered broker-dealers and members of SIPC, and, in other jurisdictions, by locally registered entities. Investment products offered by Investment Banking Affiliates: Are Not FDIC Insured \* May Lose Value † Are Not Bank Guaranteed. 09-2014 Bank of America, N.A. Member FDIC. ©2014 Bank of America Corporation.

**Jones County**  
**PURCHASING CARD PROGRAM**

**CARDHOLDER POLICY**

July 1, 2016





## Introduction

Welcome to the Jones County Purchasing Card Program. This program is designed to better manage purchases and brings many benefits to you, the County and its vendors.

For the Purchasing Card process to operate efficiently and effectively, a timely response to each of the elements of these procedures is required from those concerned. Failure to do so will create problems and possible delays in preparing month-end closeouts for your general ledger accounts. Employee absences should be anticipated and contingency plans put in place so that the process flow will not be delayed. Please be sure to read and follow the program guidelines as specified within this manual.

### What is the Purchasing Card?

The Purchasing Card is a credit card issued by Bank of America. It is a fast, flexible new tool which offers an alternative to the existing purchasing process and provides an extremely efficient and effective method for County Purchasing. *The card is to be used only for official County purchases.*

The Purchasing Card will enable you to make purchases directly from vendors by telephone, fax, over the internet, or in person.

The Purchasing Card will be issued in the employee's name with "County of Jones" clearly indicated on the card.

### The Purchasing Card program brings benefits to...

**Cardholders** - You will be able to obtain services directly from your vendors without payment requests and waiting for checks. This streamlines the County Purchasing process and can help improve turnaround time and reporting. It significantly reduces the workload and processing costs related to the purchase and payment of services.

**Jones County** - The Purchasing Card program provides a cost-efficient, alternative method for County expenses. Built-in Card features make the Program easy to control, manage and reduce processing costs at all levels by reducing the number of requisitions, invoices and checks. The Purchasing Card enables all departments to focus on higher value-added activities.

**Vendors** - The Purchasing Card will be welcomed by vendors who accept credit cards. When they accept the card for business purchases, vendors need not send invoices to the County's departments for payment processing. They will receive payment directly from Bank of America within approximately 48 hours.

**PARTIES INVOLVED**

**Card Issuer** – Bank of America's services include issuing Bank of America Visa Purchasing Cards to County employees, providing electronic review of transactions, and billing Jones County for all purchases made on the cards.

**Jones County** - Arranges with the card issuer, Bank of America, to have Purchasing Cards issued to approved employees and agrees to accept liability for the employees' use of the cards.

**Department Manager** - County official who must approve employee's request for a Purchasing Card, approve Cardholder statement reconciliations, assign Departmental Liaison, if desired, and submits change requests to the Purchasing Card Administrator. Department Manager approval delegates transaction authority to the Cardholder.

**Departmental Liaison** - An employee within a department appointed by the Department Manager to review transactions of individual Cardholders to assure legitimate business purpose, code transactions to the proper general ledger accounts and forward approved cardholder statement reconciliations to Accounts Payable after final approval by the Department Manager. This person may also be a cardholder.

**Purchasing Card Administrator** - The Finance Office employee who coordinates the Purchasing Card program for the County. The Purchasing Card Administrator makes all changes for departments and acts as the County's intermediary in correspondence with Bank of America.

**Cardholder** – A permanent full-time employee of the County who is approved by his/her Department Manager to use the Purchasing Card to execute purchase transactions on behalf of the County.

**Transaction Documentation** - Original invoice (or fax copy in the case of a telephone order), charge slip, itemized sales receipt and/or printout of the online order confirmation. Any paperwork from the vendor to verify the purchase.

**Accounting Supervisor & Accounts Payable** – Individuals in the Finance Department responsible for reviewing Cardholder statement reconciliations for proper approval and proper general ledger account coding, reconciling master monthly billing to bank statement activity, and posting transactions to the general ledger.

**Vendor** - The merchant from whom a Cardholder is making a purchase.

**Cardholder Eligibility**

Criteria to receive a Purchasing Card is as follows:

- Applicant must be an employee of Jones County.
- Applicant's request for a Purchasing Card must be approved by his/her Department Manager.
- Applicant must attend a training session with Purchasing Card Administrator.
- Applicant must be able to reconcile his/her own account statement.
- Each individual Cardholder must sign a Cardholder Agreement [EXHIBIT A].

## Key Cardholder Responsibilities

### CARDHOLDER RESPONSIBILITIES

The Cardholder must use the Purchasing Card for legitimate business purposes only. The Purchasing Card may be used for expenses as determined by County policy. An employee who misuses the card will be subject to disciplinary action up to and including termination and may be subject to legal action. The Cardholder must:

- Ensure the Purchasing Card is used for legitimate business purposes only.
- Maintain the Purchasing Card in a secure location at all times.
- Not allow other individuals to use their Purchasing Card.
- Obtain purchase documentation for all purchase transactions (original invoice or fax copy in the case of a telephone order, charge slip, itemized sales receipt or printout of the online order confirmation).
- Record and reconcile all purchases on the P-Card Log [EXHIBIT B] as soon as the purchase takes place. Submit original Log, with all purchase documentation attached, to Department Liaison or Department Manager with the billing statement within five working days of the monthly billing date. Keep a copy for Cardholder records.
- Forward log of transactions and allocations with receipts attached to Accounts Payable, before the 15<sup>th</sup> of each month, for processing of Cardholder statement.
- Attempt to resolve disputes or billing errors directly with the vendor and notify the Departmental Liaison who will then notify the Purchasing Card Administrator if the dispute or billing error is not satisfactorily resolved.
- Ensure that credit for the reported disputed item or billing error appears as appropriate on a subsequent Cardholder statement.
- Receiving cash in lieu of a credit to the Purchasing Card account is strictly prohibited.
- Immediately report a lost or stolen card to Bank of America at 1-800-836-8562 (24 hours a day, 365 days a year).
- Immediately, or as soon as possible during normal business hours, notify Departmental Liaison and Purchasing Card Administrator of a lost or stolen Purchasing Card.
- Return the Purchasing Card to Departmental Liaison or Department Manager immediately upon giving notice of terminating employment with the County or transferring Departments within the County.
- Report rejected transactions and emergency transaction needs to the Purchasing Card Administrator during normal business hours.

If a cardholder fails to forward the p-card log and purchase documentation to Finance by the due date more than three times in a fiscal year, their p-card will be suspended. Only the Finance Officer may authorize reinstatement of a p-card that has been suspended due to failure to submit required logs and documentation.

#### DEPARTMENTAL LIAISON RESPONSIBILITIES

A Department Manager may designate one Departmental Liaison for his/her department. The Department Manager will assign a Departmental Liaison to each Purchasing Card application approved for his/her employees. The Departmental Liaison must receive training before any employees in the department may use a Purchasing Card. Responsibilities include:

- Reviewing vendor receipts attached to the Bank of America Cardholder reconciled statements for proper business purpose and proper general ledger account coding.
- Reviewing Cardholder statement reconciliations on a monthly cycle and obtaining Department Manager approval.
- Ensuring that all Department Manager approved Cardholder statement reconciliations are forwarded to Accounts Payable *by the 15<sup>th</sup> of each month* after the Cardholder statements are received in the mail.
- Attempting to resolve any disputes with vendor and/or Bank of America not resolved by Cardholder.
- Notifying Purchasing Card Administrator in 3 business days of any unresolved disputes, noting the reason for dispute.
- Notifying Purchasing Card Administrator of lost or stolen cards.
- Requesting Purchasing Card Administrator to cancel a Cardholder's card (e.g. terminated employees, transferring departments, loss of Purchasing Card privileges) as approved by Department Manager. Request for cancellation of card should be forwarded to the Purchasing Card Administrator as soon as possible.
- Collecting cancelled cards from Cardholders and forwarding to Purchasing Card Administrator.
- Assisting Cardholders with rejected transactions and emergency transactions.

#### PURCHASING CARD ADMINISTRATOR RESPONSIBILITIES

The Finance Department will assign a Purchasing Card Administrator to be responsible for the over-all Purchasing Card program. Responsibilities include:

- Organization liaison with Bank of America.
- Reviewing Department-approved Purchasing Card requests for new employee cards.
- Online setup of new employee requests to Bank of America and receiving Purchasing Cards from Bank of America.
- Training Departmental Liaisons before releasing Purchasing Cards.
- Training Cardholders before releasing Purchasing Cards.
- Obtain Cardholders signature of Cardholder Agreements [EXHIBIT A], signifying agreement with the terms of the Purchasing Card program.
- Handling disputed charges/discrepancies not resolved by Cardholder or Departmental Liaison.
- Securing revoked Purchasing Cards and submitting information to Bank of America.
- Auditing usage of Purchasing Card data for appropriateness.
- Ensuring that lost or stolen cards have been blocked by Bank of America.
- Assisting the Departmental Liaison with rejected transactions and emergency transactions.

### 1. Requirements for Receiving a Purchasing Card

Before receiving a Purchasing Card, you are required to attend a training session and then sign the Jones County Purchasing Card Cardholder Agreement [EXHIBIT A]. By signing this agreement, you indicate that you understand the intent of the program, and will comply with all guidelines of this Policy as well as County Policies and Procedures relating to the expenditure of County funds.

### 2. Purchasing Card Maintenance and Closure

All contact with Bank of America for card set up, maintenance and closure (except for reporting lost or stolen cards) will be handled by the Purchasing Card Administrator who is located in the Finance Department.

The Purchasing Card Administrator is required to close an account if a Cardholder: (a) transfers to a different department, (b) moves to a new job in which a Purchasing Card is not required, (c) terminates employment or (d) for any of the following reasons which will also subject the Cardholder to disciplinary action in accordance with policies governing Purchasing card use as contained on this Jones County Purchasing Card Program:

- The Purchasing Card is used for personal or unauthorized purposes.
- The Purchasing Card is used to purchase alcoholic beverages.
- The Purchasing Card is used to purchase any substance, material, or service which violates policy, law or regulation pertaining to the County, State, or Federal government.
- The Cardholder allows the card to be used by another individual.
- The Cardholder splits a purchase to circumvent the limitations of the Purchasing Card.
- The Cardholder splits a purchase with another Cardholder to circumvent the purchase limit assigned to either Cardholder or the limitations of the Purchasing Card.
- The Cardholder fails to provide Departmental Liaison with required receipts.
- The Cardholder fails to provide, when requested, information about any specific purchase.
- The Cardholder does not adhere to all of the Purchasing Card policies and procedures.

The request for closing a Cardholder account will be submitted to Bank of America by the Purchasing Card Administrator. *You should return the plastic card for the Purchasing Card account being closed to your Departmental Liaison or Department Manager immediately after any event indicated by (a) through (d) above.*

### 3. Purchasing Card Use

The card works just like your personal credit card. County spending parameters for each Purchasing Card issued are set by the Purchasing Card Administrator. The Purchasing Card Administrator will adjust limits as determined by demonstrated need.

Certain types of vendors will be blocked from Purchasing Card use. These vendors will be blocked at the point-of-sale level.

### 4. Purchasing Card/Account Number Security and Storage

Cardholders should always treat the County Purchasing Card with the utmost care. The card should be maintained in a secure location and the card account number should be carefully guarded. The only person

entitled to use the card is the person whose name appears on the face of the card. The card may not be lent to another person for any reason.

The Finance Department will retain the monthly Cardholder Logs and related purchase documentation as well as all other documentation concerning the Purchasing Card program.

#### 5. Cardholder Liability

It is your responsibility to ensure that the card is used within stated guidelines of this Policy. Failure to comply with program guidelines may result in permanent revocation of the card, notification of the situation to management, and disciplinary action in accordance with policies governing Purchasing card use as contained in this Person County Purchasing Card Program.

#### 6. Lost, Misplaced or Stolen Purchasing Cards

Report any lost or stolen Purchasing Card immediately to Bank of America toll-free at 1-800-836-8562. Bank of America representatives are available to assist you 24 hours a day, 365 days a year. Be sure to notify your Purchasing Card Administrator and Department Liaison about the lost or stolen card at the first opportunity during normal business hours.

#### 7. Completing a Purchasing Card Transaction

Follow these general guidelines when using your card or account number to make a purchase:

- Determine if the intended purchase is within spending and vendor guidelines.
- For face to face transactions provide the vendor with your Purchasing Card or for telephone orders give the vendor your Purchasing Card account number and expiration date.
- Obtain a copy of the charge slip and/or itemized sales receipt writing the general ledger account number on the copy.
- If the order is by telephone, fax, or Internet, retain a copy of the order blank or vendor supplied description of the order indicating cost and writing the general ledger account number on the copy.
- Record transaction on Purchasing Card Log and attach all purchase documentation.
- On the last day of the billing cycle each Cardholder obtains a copy of their cardholder statement from the Bank of America Purchasing card website and reconciles activity to the Purchasing Card Log, charge slips, itemized sales receipts and/or packing slips. Forward completed reconciliation with attached receipts to Departmental Liaison.
- If telephone, fax, or Internet orders are not received by the time of the billing statement, follow the procedures for the handling of disputed charges.

#### 8. Rejected Transactions

There may be certain situations when a vendor receives a decline message (rejected transaction) when processing your Purchasing Card transaction. If you do not know the reason for the decline, contact Bank of America at 1-800-836-8562 for an explanation. If the decline was in error, the Cardholder should immediately contact the Purchasing Card Administrator for assistance. If purchase is being made outside of normal business hours, the employee must find an alternate payment method or terminate the purchase and contact the Purchasing Card Administrator during normal hours.

### 9. Emergency Transactions

For any transaction which does not meet the spending controls assigned to the card, the Cardholder must contact the Purchasing Card Administrator for assistance.

### 10. Credits

The vendor should issue a credit to your card account for any item they have agreed to accept for return. This credit will appear on a subsequent statement. *Under no circumstances should you accept cash in lieu of a credit to the Purchasing Card account.*

### 11. Disputes & Billing Errors

You should always attempt to resolve any disputes or billing errors directly with the vendor. In most cases, the vendor will issue a credit to the card account. Nearly all issues can be resolved using this process. If you are unable to obtain an acceptable resolution, the Cardholder must contact the Departmental Liaison for assistance. If an agreement cannot be reached with the vendor, the Departmental Liaison should contact the Purchasing Card Administrator. The Purchasing Card Administrator may request your assistance in completing a signed Dispute Form to document the reason for the dispute.

The total amount billed by Bank of America to the County will be charged to the individual departmental accounts and credits for disputed transactions will be posted to departmental accounts when credit appears on the Bank of America statement billing.

### 12. Sales and Use Tax

**In-State Vendors** - The vendor is responsible for collecting retail sales tax at the point of sale. The amount of sales tax should be indicated on the itemized receipt provided by the vendor.

**Out-Of-State Vendors** - Vendors located out of State may or may not be required to collect North Carolina sales tax. If the vendor collects North Carolina sales tax then the amount should be indicated on the itemized receipt or order form provided by the vendor.

### 13. Vendor Participation

If a vendor frequently used by Jones County employees does not accept the card, the County will assist in trying to recruit the vendor to take the necessary steps to begin acceptance of the card. Cardholders should contact the Purchasing Card Administrator if this occurs.

### 14. Audit Assistance

The Purchasing Card Administrator will perform periodic internal audits of your compliance with the guidelines of the Purchasing Card program, Cardholder statements and other required documentation. The Accounting Supervisor and Accounts Payable will be looking at them in depth each month for proper compliance and will bring items necessary, to the attention of the Purchasing Card Administrator.

**15. Customer Service**

Bank of America Customer Service is available 24 hours a day, 365 days a year at 1-800-835-8562 for:

- Reporting a lost or stolen card
- Disputes or billing errors
- Cardholder Account information

For all other questions or issues, please contact the Purchasing Card Administrator.

**16. Exhibits**

- Exhibit A- New Cardholder Enrollment Form
- Exhibit B- Purchasing Card Log
- Exhibit C- Lost Receipt Form
- Exhibit D- Reimbursement Form for Accidental Use

**17. Log in information for website**

- (<https://enterprisespendplatform.suntrust.com>)
- Email address
- Username
- Password